VOYAGER
S Y S T E M S

Invention/License Subsystem
User's Guide/Training Manual

For

U.S. Department of Agriculture
Office of Technology Transfer

Updated: September, 2003

Version 03

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INTRODUCTION

The License and Invention System is the ARS management database which resides on the Agricultural Research Information System (ARIS) and is used for tracking information on inventions and licenses for inventions. The purpose of this document is to provide a User's Manual and Training Guide for the new License and Invention System which has been enhanced and expanded to cover new areas. The Invention Subsystem has been modified to provide more information and expanded to handle Plant Material Dockets and Biological Material Dockets. It also provides the capability to group patents into 'families' and identify the relationships among patent dockets. The Licensing Subsystem has been modified to allow OTT personnel to group inventions into a technology group identified by a Technology Transfer ID number. Licensing is now based on the Technology Transfer ID with the user being able to select part of all of the items under the technology group for the given license.

1. TOP LEVEL DESCRIPTION AND THE BASICS

Top Level Description

The License and Invention System is divided into two major parts:
　　　Invention Subsystem – Contains all data, forms and reports to support Patent Dockets (both US and Foreign), Plant Material Dockets and Biological Material Dockets. Also supports Patent Family Groups.
　　　License Subsystem – Contains all data, forms and reports to support licensing inventions. Also, supports pending licenses and in-licenses from another agency. Similar technologies will be grouped and identified by a Technology Transfer ID. All licenses will be under a chosen Technology Transfer ID.

ARIS has the same basic approach to each area. Functionality is divided into 4 categories; Active, History, Work Status and Work:

Active – Active forms are read-only forms available to all users. (There are a few special instances where NPS personnel or budget personnel may modify an active record). They display information for approved records. The user may query on any desired criteria and return a list of those records that match the criteria entered. If there is an error in the Active record, the user will select the record in the Active form, and chose the function to 'Create Work Record'. A copy of the record will be inserted into the work area with the appropriate level of the user who created it.

History – History forms are also read-only forms available to all users. They view records that were once part of the 'Active' database that were subsequently moved to History. They may have been expired or terminated and it was determined they did not need to be

kept in the 'Active' file any longer but they are retained for historical purposes. A History records may be moved back to Active if the need arises by choosing the function 'Move to Active'.

Status (Work) – Status (work) forms are used to view data for records that are currently being worked on and going through the approval process. They are read-only forms and allow the user to see all work records within his modecode restriction. The list screen will show which level the record is currently at (who is working on it). This is helpful if the user has signed and approved a record and wants to see who else in the signature chain has also signed and approved it.

Work – Work forms are used to add, modify, sign and approve patents and licenses. The work forms provide a work queue capability. The queue controls access to the records based upon the user's modecode restriction, role, and submission level. When a user of a given submission level signs and approves the record, the application will update the submission level to the next identified 'level' based on the rules that have been defined within the signature trigger. When the final approval is entered, the record is tagged as '99' and a nightly process will then audit the record and move it to the active tables. For example, a Research Leader will see records within his modecode only, which currently have a level for Research Leaders (awaiting approval by a Research Leader). Once the Research Leader approves the work record, its level will change and it will no longer appear in the Research Leader's 'work queue' but will now appear to a CD/LD/DAD or Area Director as appropriate.

The Basics

Menus

Toolbar
This is an example of a standard Work Toolbar.

Prints the current screen.

Cuts selected text.

Copies selected data.

Pastes selected data.

Displayed only for Query Screens, executes the query and navigates to the list screen.

Displayed only on List Screens, navigates to the query screen.

Navigates to the first record in the list. The user may use this navigational feature while on any tab screen and the header/data will scroll accordingly.

Navigates to the previous record in the list. The user may use this navigational feature while on any tab screen and the header/data will scroll accordingly.

Navigates to the next record in the list. The user may use this navigational feature while on any tab screen and the header/data will scroll accordingly.

Navigates to the last record in the list. The user may use this navigational feature while on any tab screen and the header/data will scroll accordingly.

Saves any unsaved changes. Displays only on Work forms.

Cancels any unsaved changes. Displays only on Work forms.

Exits the current screen.

Querying

Query screens allow the user to enter the search criteria to be used to select records. There are special characters/operators that may be used to aid querying.

% - Wildcards. This is used when the user only knows a partial value for a field or if they are looking for a particular string of characters within a field. It is often called the 'LIKE' operator. Such as, to find a last names like Green, it may be Greenfield, Greendale, etc. type Green%. The user should always use % when querying large text fields and looking for specific terms.
        Other examples:

Germ% - retrieves all records where the field queried contains data that starts with germ, such as germ and germplasm.

%plasm% - retrieves all records where the field queried contains data that has the string 'plasm' within it, such as germplasm and plasma.

%temperatures%limiting% - when used like this, the % between the words acts as an AND operator and will retrieve all records where the field queried had both the word 'temperatures' and the word 'limiting'.

: (colon) - Range/Between. Used as a separator between the start and end values in a range. It can be used for all types of data, including dates. Example: 10/1/2002:9/30/2003 would return all records where the field queried had a date within that range.

;(semicolon) – OR. Used as a separator in a list of search items. Indicates an OR condition. For example, 'corn;wheat;rice' would retrieve all records where the field queried had either the term 'corn' or the term 'wheat' or the term 'rice'.

!(exclamation) – BUT NOT. It is used to narrow the search criteria. It may be necessary to query multiple values and omit only one or two. For example, querying projects that are not Expired (E) or Unfunded (U), the user would enter A:X!E;U. This would return all statuses except those in E – Expired or U – Unfunded.

Special Features

There are a few special features provided:

For all users, the white fields indicate where data entry and modification is accepted, the light yellow fields indicate the field is not modifiable.

List screens that support adding and deleting records have <Add> buttons. Selecting this button will put the list in 'Add' mode which will be indicated by a light green color. It will also default certain values as appropriate for creating the new record. The user can continue adding records by scrolling down the list until they choose to Save. Saving will commit the new records and return the list to 'Modify' mode.

- this button appears next to a record, usually on a list screen. It is provided to allow the user to easily navigate to related information in another form. For example, the Patent List screen allows the user to choose a Patent Docket and use this icon to navigate to the License form and automatically show only the licenses related to the Patent Docket that was chosen.

- this button appears on screens that require data entry of multiple addresses. It is called the 'copy-down' button. Once address data is entered in the block beside this icon, clicking on the button will copy the information entered into the address blocks below it.

? - this button appears next to fields that have a List of Values available for selection of the item. It is typically used when the list available must be queried from a reference table or from another ARS table. For example, this button next to the Patent Status field would display a list of all patent statuses from the reference table. Often, the user can also type the value manually.

▾ - this button appears next to fields that have a pick list available for selection. The user must use the pick list to choose the appropriate value. Typing the first letter will cause the correct choice to display in the field.

X – Some list screens support marking records in order to be able to do some calculation or totaling. On these screens, this button is provided as a convenient way to mark all the records. It will toggle between marking all and clearing all.

Calculate Total button – Some list screens support marking records in order to be able to do some calculation or totaling. After the user has marked the records they desire to be part of the calculation, they will select a button similar to this one to tell the application to do the calculation.

License No - Buttons appear on the tops of each column on List screens. These buttons are provided to facilitate sorting the records in different orders. Clicking the button the first time will sort the records in ascending order for the field below. Clicking the button again will sort the list in descending order for the field below. The button will continue to toggle between ascending and descending order.

Pop-up Screens – Data entry that is done on a separate pop-up screen will be supported with three buttons:

Save: Save will save the data entered on the screen. If the screen allows additional data entry or modification, the pop-up will remain displayed after the current changes are saved. In some instances where the pop-up is supporting a specific data entry, the pop-up will close and the user will be returned to the main screen.

Cancel: Cancels the data entered on the screen and closes the pop-up.

Close: Checks to see if there are unsaved changes. If there are, it will prompt the user for whether to save those changes or not. If the user chooses to save, it will save the changes and close the pop-up. If the user chooses to cancel, it will cancel the data entered and close the pop-up.

2. LICENSES & INVENTIONS MENUS

The Main Menu of the License and Invention System has the following drop-down menu items.

◆ File
◆ Active
◆ Status
◆ Work
◆ Licenses (OTT only)
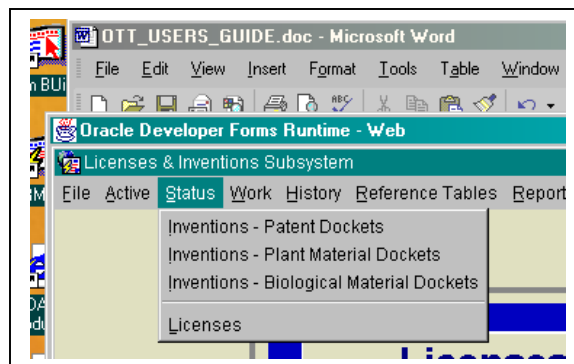◆ History
◆ Reference Tables
◆ Reports
◆ Help

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Active Menu

◆ Patent Families
◆ Inventions – Patent Dockets
◆ Inventions – Plant Material Dockets (OTT only)
◆ Inventions – Biological Material Dockets(OTT)
◆ Technical IDs/Groups
◆ Licenses

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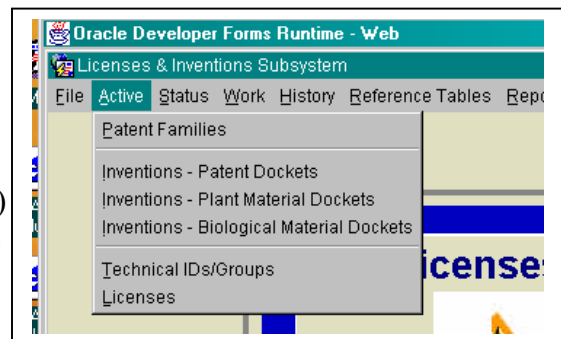
Status (Work) Menu

♦ Inventions – Patent Dockets
♦ Inventions – Plant Materials (OTT only)
♦ Inventions – Biological Materials (OTT only)
♦ Licenses (OTT only)

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Work Menu

♦ Patent Families
♦ Inventions – Patent Dockets
♦ Inventions – Plant Materials(OTT only)
♦ Inventions – Biological Materials(OTT)
♦ Technical IDs/Groups
♦ Licenses (OTT only)

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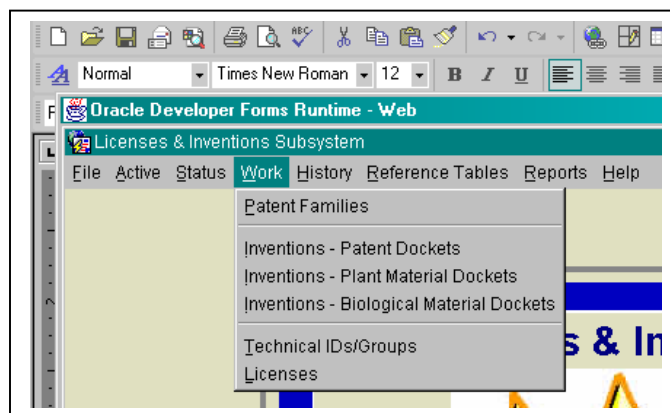
Reference Tables Menu

♦ Disclosure Questions
♦ Docket No
♦ License Company(OTT only)
♦ License Status(OTT only)
♦ License Type(OTT only)
♦ Major Category
♦ National Country Status
♦ National Filing Critical Events
♦ Patent Foreign Country
♦ Patent Status
♦ PCT Country Status
♦ Patent Advisor to Modecode Assignment(OTT only)

****
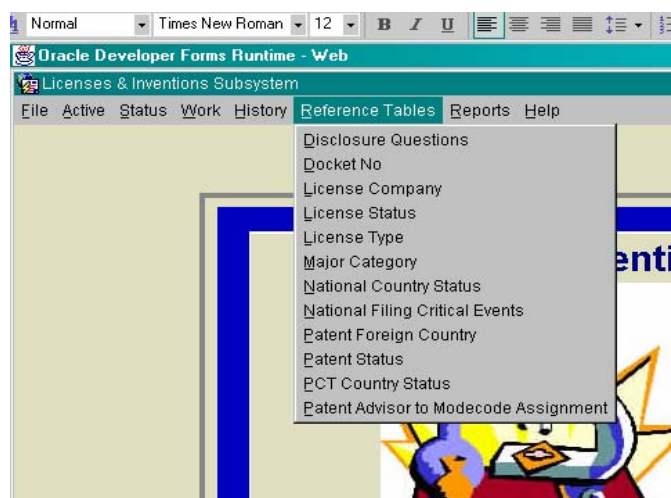
Report Menus

Main Report Menu

♦ Invention Reports
♦ License Reports (OTT only)
♦ History
♦ Blank Forms
♦ Patent Family Reports

****
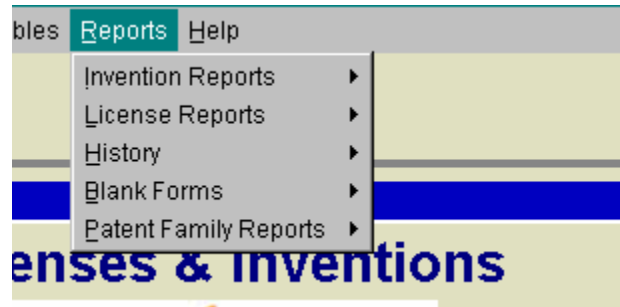
Invention Report Submenu

♦ Patent Family Reports
♦ Patents Available for Licensing Report
♦ Applications Filed Report
♦ Docket Report
♦ Inventor Report
♦ Patents Issued Report
♦ Assignee Report
♦ Maintenance Fees Paid
♦ Maintenance Fees Due
♦ Allocation Detail Report
♦ Allocation by Areas
♦ Allocation by FY
♦ NPL FY Invention Tracking Report
♦ Foreign Filing Report
♦ Patent Fees/Foreign Filing Expenses
♦ Foreign Patents – National Stage Report
♦ Foreign Patents – National Stage Deadline Report
♦ Foreign Patents – National Critical Event Report
♦ Foreign Patents Issued Report

****
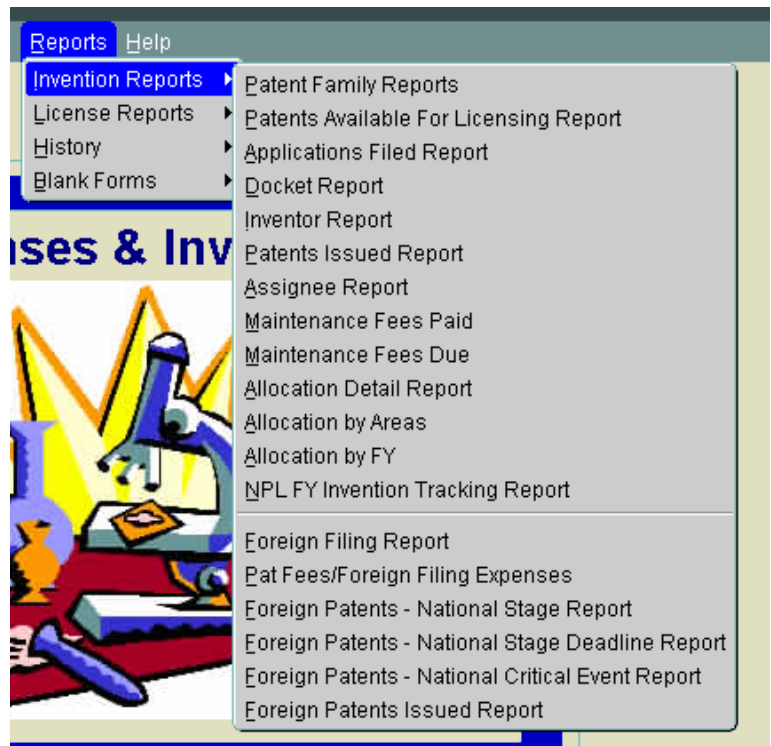
License Report Submenu (OTT only)

♦ Technology Transfer ID Report
♦ Summary License Report (Type, Status)
♦ License Due Date Report
♦ Fee Maint Tickler
♦ Diligence Report
♦ Company Contact Information Report
♦ Commerce Report
♦ Small Business Report
♦ Current/Prior FY License Income Report
♦ Income Report
♦ Inventor Disbursement Report
♦ License Income Trend Report
♦ Patent Cost Reimbursement

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History Submenu

♦ Inventor Report
♦ Assignee Report

****
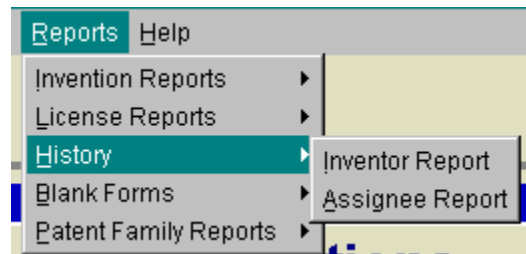
Blank Forms Submenu

♦ Invention
♦ Disclosure
♦ Plant Inventions
♦ Plant Disclosure
♦ Bio Inventions
♦ Bio Disclosure
♦ License
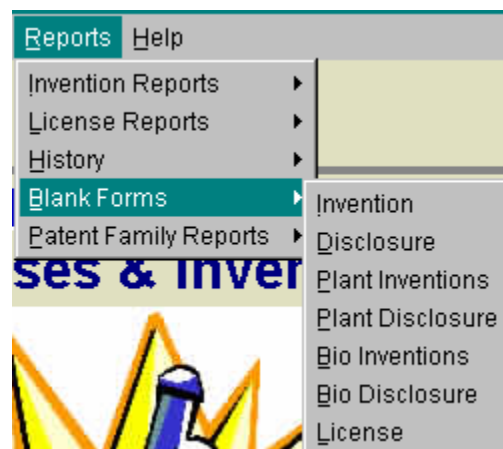
3. INVENTION SUBSYSTEM

The Invention Subsystem has been expanded to handle different types of patentable material. The subsystem is split into three distinct areas: Patent Dockets (both US and Foreign), Plant Material Dockets and Biological Material Dockets. There has also been additional capability added to group Patent Dockets into families and to define the relationships among the dockets (e.g. Divisional, Continuation, and Continuation In Part).

Patent Dockets (US and Foreign) – This module is an enhancement of the old Patent subsystem within ARIS. Additional fields have been added to support information reporting. The ability to assign a patent to a family and to view the entire family in 'tree' form has been added.

Plant Material Dockets – This module has been added to create, modify, report on and approve Plant Material Dockets. Plant Materials have their own docketing numbering system with a Docket Prefix of 'P'. The docket number is sequentially assigned according to the FY. Each FY will restart at 1.

Biological Material Dockets – This module has been added to create, modify, report on and approve Biological Material Dockets. Biological Materials have their own docketing numbering system with a Docket Prefix of 'B'. The docket number will be sequentially assigned according to the FY. Each FY will restart at 1.

Patent Families

Patent Families exist when a parent patent results in other patents being filed as a result of changes or enhancements to the original patent. A new patent for a new technology will be considered a 'Patent Family' at first and be designated a Parent docket. Per review, the originating (parent) patent may result in a divisional patent where there is more than one invention in the original patent application or a Continuation in Part when new subject matter is added to a patent application. A Continuation patent application may be filed to keep the patent rights intact for a period of time.   Divisionals, Continuations and Continuations in Part may also subsequently result in other patents being filed. This results in a hierarchical relationship among the group of related patents. In the hierarchical relationship the 'owning' patent is called the parent. The patents that result from that patent are called 'children'. In this subsystem, the user may define a Patent Family by specifying the Parent Patent and then adding children patents as appropriate. *Any individual Patent Docket may be assigned to one and only one Patent Family.* Each docket must have a type associated with it: Parent, Divisional, Continuation, or Continuation in Part.

There are two ways to access Patent Family information. One is through the Active side, which allows the user to view patent family information and query/retrieve patent family information. The other is through the Work side, which has additional capability to create new families and make changes/additions to existing patent families. There is no 'approval' process for Patent Families. Therefore, users that are authorized to make changes in the work form will have their changes immediately visible through the Active side.

Patent Families – Work Screen

The Patent Families Work Screen is accessed off the Work submenu.
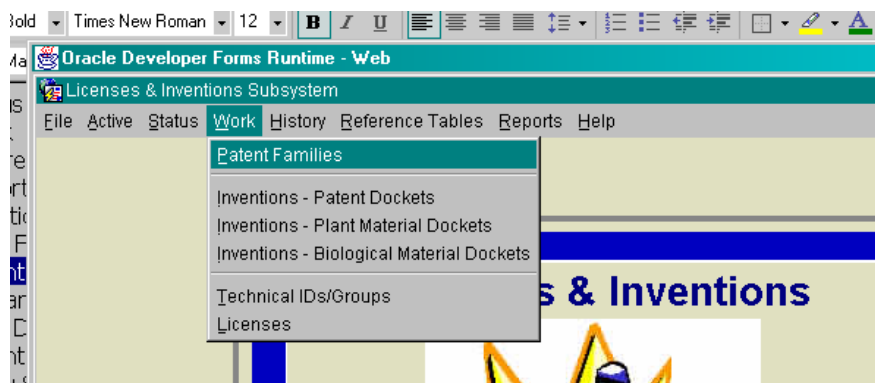
The screen displayed will be:

There are two tab screens:

Patent Families - Patent Families is where the user can query and retrieve results, add new families, add children to existing patent families, edit information about the entry, and delete dockets from patent families.

All Families – Displays all the existing patent families and allows the user to navigate the structure and view details on each node.

Patent Families Screen

This screen is the work screen for Patent Families. It provides the capability to add new Patent Families, add new children to existing patent families, modify information about a child in a patent family, or delete a docket from a patent family. Deleting a docket from a family does not affect the Docket record; it merely removes its relationship to the family. It allows the user to query Patent Families by entering criteria for Docket No, FY, Serial No, Patent No, Invention Title, or Inventor Last/First Name. It will return the entire Patent Family for the docket(s) that match the criteria entered. If the search criteria returned only one docket (as in the example below for 182.94), the application will return the entire Patent Family but will highlight the record returned based on the query criteria. If the search criteria returns multiple dockets, it will highlight all the records that matched the query criteria.

The user may also add patent dockets to families when modifying the work record for the docket. Refer to the section Patent Dockets – US and Foreign, Invention Screen. When added through the work process, the patent docket will not be officially assigned to a patent family until the work record is approved. The Patent Families function described in this section is an instantaneous assignment to a Patent Family and does not require any approval process.

Adding a New Patent Family

To add a new Patent Family, select the <New Family> button. The following popup will display. On the popup, enter the Docket No of the Parent Patent. Then select <Save>.

The new parent will now appear in the list:

Adding Children to an Existing Patent Family

To add children to an existing family, select the docket under which the child docket should appear. In the example below, we are adding to the Parent patent 166.98.

Select the node and then select <Add Child>. The user must enter the docket number and the display name (type). In this example, the user entered Docket No 241.00 as a Continuation of Docket 166.98. Select <Save> to save the entry.

The new child is now shown under the parent patent. If a mistake has been made adding Docket No 241.00 as a Continuation, select <Edit Node>.

Selecting <Edit Node> will allow me to change the type and save the change.

If a docket is added in error, select the docket no on the tree and then select <Delete Node>.

All Families Screen

The All Families Screen will automatically query and present the Parent list of all the Patent Families currently available. As each node is selected, the information from the node is displayed in the Docket Detail block on the right. If the docket is currently in the History File, an 'H' would display at the end of its label. This screen is for easy viewing of all Patent Families.

Patent Dockets – US and Foreign

The Patent Docket form is an enhancement of the current Patent Subsystem in ARIS.
Key enhancements include:

- Assign the Patent to a Patent Family by indicating its type (Divisional, Continuation, or Continuation-In-Part) and its parent docket.
- Ability to display the Patent Family 'tree' that the Patent belongs to.
- Display of related CRIS Projects based on entry of ARS Inventors.
- List entry of Patent Status and the ability to enter associated US Prosecution Fees with comments.
- Ability to tag any Patent Status event as critical.
- Separate entry of ARS Inventors and Non ARS Inventors
- List entry of Foreign Filing expenses, detailing which country the expenses are for, the invoice date and the amount. Optional entry of comments.
- National Filing has been modified to allow direct entry of countries for the National Filing stage, and to allow capture of the Application Number and date; Patent No, Issue Date and Expiration Date; and Critical Events and Date.
- Ability to identify the Organization Responsible for Prosecution and the name of any Cooperator.

Patent Dockets – Work Records

The user may create a new work record for a new Patent Docket using the Work Inventions – Patent Dockets screen. If there is an existing Patent Docket that needs modification, the user must first go to the Active -> Inventions – Patent Dockets screen, select the patent docket that requires modification, and then select Action -> Create Work Record.

Menu Selection

To access Work Records for Patent Dockets, select the Menu option
Work -> Inventions – Patent Dockets.
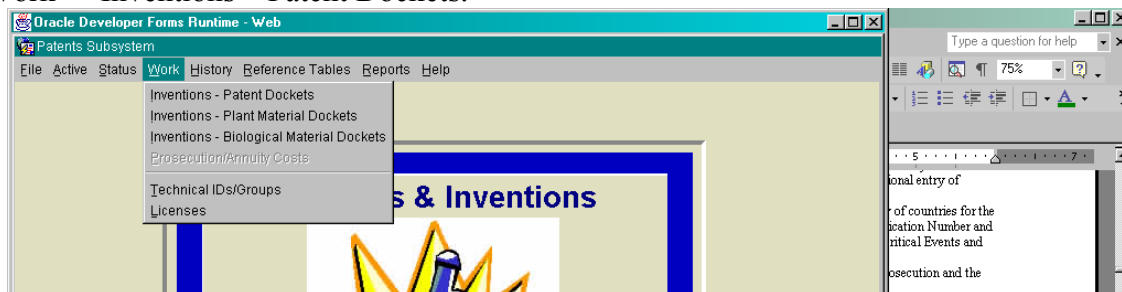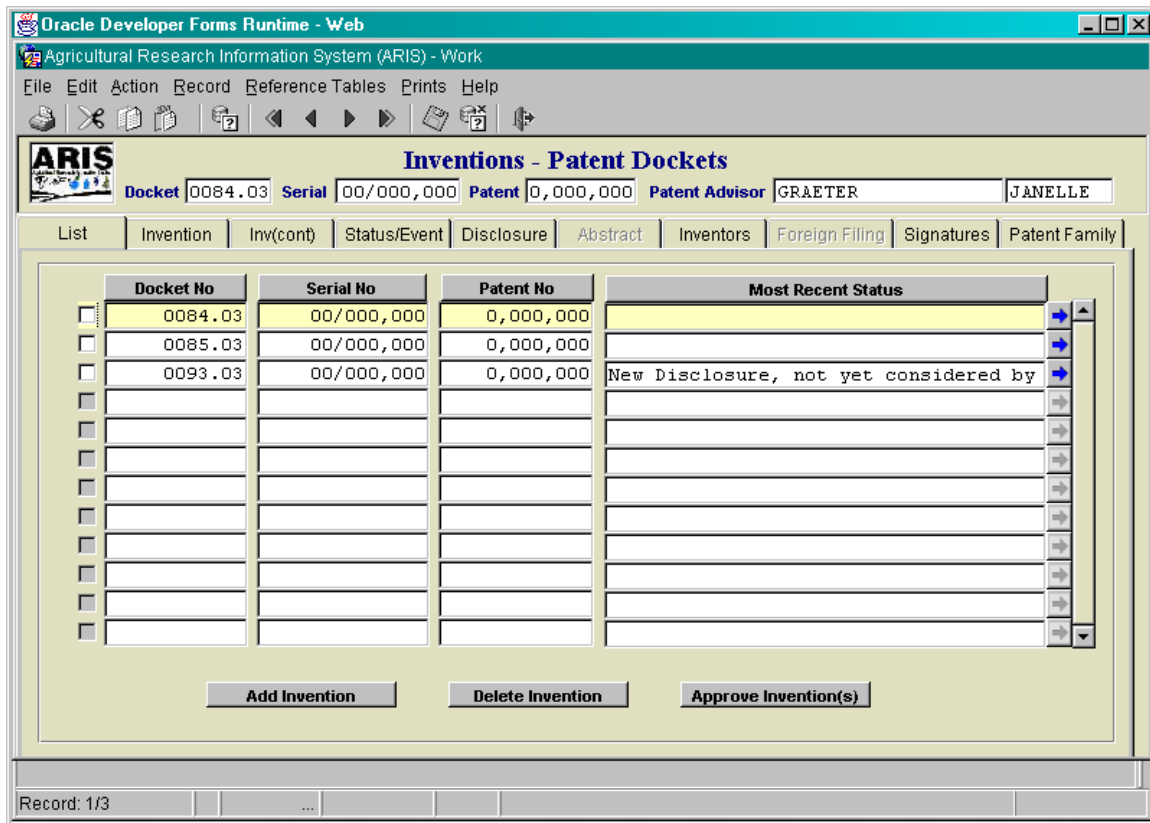
List Screen

The form will automatically query the work records that are applicable for your user level and modecode. The list screen shows the Docket No, Serial No, Patent No, and the most recent Patent Status assigned to the invention. To view and work on an invention record, select it on the list and then select the desired tab.

The ➡ at the end of each record will let the user query and view licenses related to the selected Patent Docket.

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Adding an Invention

When adding an invention, certain fields are defaulted based on your user role and profile. For Field Level personnel, which includes Research Leaders, CD/LD/DADs, and Area Directors, the Docket No and FY will default for the current FY and the Patent Advisor will default based on the Patent Advisor assigned to cover your Area Modecode. The example below shows the screen for an invention being added by a Research Leader assigned to area 12.

The current Patent Advisor assignments are:

Modecodes	Name
12,19,40	JANELLE GRAETER
36,54	CURTIS RIBANDO
53	MARGARET CONNOR
62	RANDALL DECK
64	JOSEPH LIPOVSKY
66	GAIL POULOS

For Headquarters personnel, the Docket No and desired FY must be selected from an available list. The Patent Advisor defaults for the Patent Advisor assigned to cover the user's Area but is changeable (see second example).

Research Leader Add Screen – *Note, the Lead Inventor modecode is temporarily set to the entering user's modecode until the Lead Inventor (Primary Contact) is entered and identified.

DE/SEC Add Screen – Note, HQ level users must select the FY and obtain the next available docket number and must also select the responsible Patent Advisor.

Invention Screen

The required fields for initial data entry are:
Docket No
FY
Patent Advisor
Title of Invention

At that point the Patent Docket may be saved and data entry can be continued for Status, Disclosure and Inventor information.

The Organization responsible for Prosecution is selectable: ARS, Contracted Out or Prosecuted by Cooperator. *If the Patent is being prosecuted by cooperator, the user must enter the Cooperator Name.*

If this is a new patent being filed for new technology and it is not related to any existing patents, designate its Type as 'Parent'. If the patent is a continuation in part, continuation, or divisional of an existing patent, assign it to the proper patent family by specifying the type (Divisional, Continuation, Continuation In Part) and the Parent Docket No. If this patent is to be a parent of other patents, the user may specify a type of Parent and leave the Parent Docket No field blank. The docket will not be added to the Patent Family until the work record is signed and approved. When it is moved to Active,

its entry into the Patent Family will be generated and will then be viewable through the Patent Family tab and the Patent Family screen.

After the invention is saved, the screen will display as shown above. Upon saving a new invention, the application automatically creates a status record indicating this is a New Disclosure. That record is shown on the main. The status information displayed will be the two Status/Events selected on the Status/Event tab for display on the main screen. These should be the most pertinent status records for viewing on the main screen.

Other defaults are also applied for Serial Number and Patent Number. Note that the Abstract tab is not accessible to field level personnel and the Foreign Filing tab is only accessible if there are foreign rights available.

Invention (cont) Screen

The Invention (cont) tab page screen provides additional information about the patent. The user may reference a CRADA Agreement No; a List of Values is available to show the current CRADA agreements. Headquarters level users may indicate that Foreign Rights are available. Selecting 'Yes' for Foreign Rights Available will enable the Foreign Filing tab. The related CRIS projects are displayed based on the Project data entered against each inventor for this invention. Patent Advisors may enter Public Access information and Comments. All users may select Major Category codes for the invention.

Once Inventor information is entered, this screen will also show the Related CRIS Projects:

Status/Event Info Screen

When a new invention is saved, the application automatically inserts a new Status record indicating this invention is a New Disclosure and marks this record for display on the main screen. The user may add additional status records. *Two and only two records may be marked for display on the main Invention screen.* This tab screen is to reflect the interaction with the US Patent and Trademark Office and to provide a complete docket history with the associated prosecution fees.

Headquarter level personnel may enter Maintenance Fee Info.

The Status Event tab combines information that was previously recorded as Status Code/Date 1, 2 and 3, Critical Event 1 and 2 and US Prosecution Fees. Enter a status date and status code – the reference table for the codes is a combination of the old Patent Status codes and Critical Event codes. The user will also check off the two records to be displayed on the Main Screen for information. Two and only two may be checked at one time (in the first column).

Adding a New Status Event

Users may enter new status events and corresponding US Prosecution Fee information. To add a new status record, select the 'Add Status Record' button. The highlighting will change color to indicate that the list is now in 'Add' Mode. A new status record will be created and it will default the Event number to the next available sequence number and default the date to the current date. Both fields are modifiable by the user. The Event numbers were created to allow users that are entering comments to link one event to another event by referencing the event numbers. The user must select a Patent Status Code before saving. *Enter any associated fee and the due date for the fee. The fee data is very important as it is used for budgetary reports and licensing requirements.* If this is a critical event, the user should check the critical box. Upon payment or completion, the user must return and enter a completed date. The user may enter as many status records as required by scrolling down the list while in Add mode. Upon saving, the list will return to normal modify mode.

To enter comments for the selected status/fee records, click on the 'View/Modify Comments' button.

To delete a status/fee record, highlight the desired record and click on 'Delete Status Record'.

Additionally, the capability has been provided to calculate the total of all fees entered in this list. The user would select the button with the 'X' to mark all the records, or the user may selectively mark certain records by checking the box next to the Amount field. Once the desired records have been selected, the user must click the 'Calculate Total' button which will show the total in the Prosecution Total field.

Disclosure/Detailed Descriptions

It is required that the user answer four questions to disclose the invention. The responses to these questions provide a complete description of the invention. Upon clicking the Disclosure tab, the user will see a tab for each question. The user should answer each question.

Question 1

If the user is copying text from another application and wish to paste that text into the response field, the user may double-click the response field to bring up a text editor. Then paste the copied text into this editor using the normal paste function (Ctrl-V).

Question 2

Question 3

Question 4

Abstract Screen

Only Headquarter level users are allowed to enter, modify or view Abstracts. If the user
is authorized, the Abstract tab will be available. The user may type directly into the large
text field, or may cut and paste from another application into this field. To display the
contents of this field in a text editor, simply double click in the box or choose
Edit -> Editor from the menu.

Inventor Screens

The user entering the invention will be required to select at least one inventor who is designated as the Primary Contact before he will be allowed to approve the invention. The inventor designated as the Primary Contact will be considered the Lead Inventor. *The Modecode for the project of the lead inventor (primary contact) will be used for the invention. This is important since many users have modecode restrictions and although you are allowed to pick any ARS person as the lead inventor, if you do not have access to his modecode assignment, the invention record will 'disappear' from your work queue.*

The Main Inventor screen presents the list of inventors and details for the inventor selected on the list. The following sections will show how to Add an ARS or a Non-ARS Inventors.

Adding an ARS Inventor

To enter an ARS Inventor, click the <Add ARS Inventor> button on the Inventor tab page. This will display screen below. The Agency will default to ARS and will not be modifiable.   The user will query and select from a list of ARS employees by clicking the
[?] button. *Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.*

Selecting the [?] beside the Inventor name field will display the following screen:

This is an interactive screen where the user may enter query criteria, hit <Search> and review the list of employees returned, clear or modify the criteria, hit <Search> again and retrieve a new list. There are options for searching only current employees, only former employees (retired or left the agency) or both. Select the corresponding radio button for Current Employee, Former Employee, or Both. The default is to only search current employees.

In this example, the user is retrieving all employees in Modecode 12-65-20. The user will then scroll the list, or modify the criteria and search again. Once the correct employee has been found, enter the <Select> button.

This will return the selected employee to the previous Add ARS Inventor screen. Since this is the first inventor, the application has set the default for this person to the Primary Contact. The user may change this setting. The user may also now enter additional information about the employee including phone, fax and email. The user may also check if this is a former employee or if the employee is known to be deceased. The next step is to choose the project the employee is assigned under while working on this invention. Click the [?] next to Project No.

This will automatically look for projects the employee is assigned to as an investigator in the ARS subsystem. The results will be displayed in a list as shown below. *If the desired*

project is not shown, the user may clear the query criteria and requery on new criteria.
The user must clear out the previous query criteria before searching on another field
such as Accn No. Once the correct project has been found, highlight it, and push the
<Select> button.

This will return the project information to the previous screen:

 All required information has been entered and the user may save the record by selecting
the <Save> button. To exit without saving, select <Cancel>.

The main tab will be redisplayed with the new inventor information.

Adding a Non-ARS Inventor

To add a Non-ARS Inventor, select the 'Add Non-ARS Inventor' button from the main Inventor tab screen and the following will display:

All information for a Non-ARS inventor must be entered manually. The Agency/Organization name will accommodate 100 characters. *For consistency of use and to aid in querying, the business rule is to enter the full name of the Agency or Organization (e.g. University of Illinois at Urbana-Champagne).* There are List of Values available for State and Country codes.

Once the data for the Non-ARS inventor has been entered, select the Save button. The application will be returned to the list and will display all inventors.

Foreign Filing Screens

Headquarters level personnel are authorized to enter Foreign Filing information for the invention. To enable the Foreign Filing tab, the user must indicate that on the Inv (cont) tab that Foreign Rights are Available. That will enable the Foreign Filing tab and the user will be able to enter Foreign Filing information.

Foreign Filing Information

The Foreign Filing tab screen will only be available for data entry if the Foreign Rights Available on the Inv (cont) tab screen is set to 'Yes'. To add a new Foreign Filing record, select the 'Add Foreign Filing' button. This will populate some defaults as shown here, the US Filing Date defaults to the Date the Application was Filed, the US Application Status defaults to the most recent patent status, Foreign Rights Available defaults to Yes and CRADA and Active Licenses defaults to No. The user may not modify the US Application Status; the patent status is maintained on the Status/Event tab screen.

The user must complete the foreign filing information including the Worldwide Rights Assignment Notification and Foreign Filing Comments. Once this data has been entered, the user should save the record and the Notification Deadline and PCT/Non-PCT Filing Deadline will calculate automatically. Under the PCT (Patent Cooperation Treaty), you have 12 months from the US Filing date to file a PCT country application. Under the Paris Convention, you have 12 months to file a Non-PCT country application to hold your option to protect your patent rights in those countries. Therefore, the PCT/Non-PCT Filing deadline is calculated as 12 months after the US Filing Date:

Once complete, select the Save option on the menu or the toolbar. Then the user may enter Foreign Filing Expenses, PCT, Non-PCT and National Filing information.

Foreign Filing Expenses

To add Foreign Filing expenses, click on the Foreign Filing Expenses button and the following will display:

This screen allows list add of Foreign Filing expenses associated with different countries.

To add records, select Add:

The FY will default to the current FY and the user must enter the country, invoice date and amount. The following example shows multiple entries:

To save, select <Save>. To delete an expense record, select it on the list and then select <Delete>. To close this pop-up and return to the Foreign Filing tab, select <Close>.

Adding PCT Info

To add/modify PCT information, select the <View/Modify PCT > button. This will display the following:

You have at least 30 months after your priority date (US Filing Date) to file country applications in PCT application countries to secure your patent rights. Therefore, the National Filing Deadline is calculated as 30 months from the US Filing Date. PCT/Non-PCT Filing Deadline. There is one status associated with all PCT countries. To enter PCT countries, select <Add>. Type in the Patent Country Code or use the LOV <?> to select the country. Select <Save> to save the entries, and then <Close> to return to the Foreign Filing tab screen.

Adding Non-PCT Info

To add/modify Non-PCT information, select the <View/Modify Non-PCT > button. This
will display the following:

To add non-PCT countries, type in the Patent Country Code or use the [?] button to look
up the correct country. When finished select <Save> to save the entries, and <Close> to
return to the Foreign Filing tab screen. Countries may be deleted by selecting the record
on the list and then selecting <Delete>.

Adding National Filing Info

The National Filing screen functionality has been expanded to allow users to add/delete countries that are in the National Filing Stage and track Application No, Patent No and Patent info for each specific country. The Critical Event is to be used by OTT personnel to track specific events related to the National Filing Stage.

To add/modify National Filing information, select the <View/Modify National Filing > button. This will display entries for each country that was designated under the PCT info or Non-PCT info, and will allow the user to capture detailed information on the National Filing Stage.

The following shows an example with some additional data entry:

Adding a National Filing Country

The National Filing capability has been expanded to allow the user to manually add a country directly to the National Filing stage. PCT and Non-PCT countries are automatically added to the National Filing records. To add a country directly, select the <Add> button. This will put the list in Add mode indicated by the creation of a new row and a change in the highlight color.

Either directly type in a valid Patent Country Group code or use the [?] button to display a list of values. Enter a status code or use the [?] button to display a list of values. Enter other data as needed. Select <Save> to commit the changes. The following is an example:

Denmark was added and after saving, the list redisplayed in alphabetical order by country code. Select <Close> to exit the National Filing screen.

Patent Family

The Patent Family tab screen will automatically show the Patent Family for the Docket selected and being viewed. The area on the left of the screen will show the tree structure for the family. The top node will be labeled Parent, subsequent child nodes will be named by their type (e.g. Divisional). As the user selects nodes on the tree, summary information for the Docket selected will be shown on the right. A Docket will only be added to the family tree once it is approved and becomes 'Active'. Dockets that are new and in work may capture family information on the Invention tab screen but will not be displayed as part of the family until they are approved. A Docket that has already been in Active and then is brought into the work area for modifications will remain part of the Patent Family it was assigned to. This is view only information. To assign a patent to a family refer to the Adding an Invention section or the Patent Families section. The example below shows the Patent Family for the selected docket.

Signature Screen

To approve the invention work record, the user will sign in the correct signature block for their level.   There are designated rules for the work flow of a work record. Usually, a Research Leader will approve the initial invention disclosure (work record) and it will be 'sent' to either the CD/LD/DAD for his area/location or directly to the Area Director depending on the user's security level. Alternatively, if necessary, a new record can be created at HQs. This shortens the approval process. Once the user has approved the record, the user will no longer see it in their work queue for modification. To view its current status, the user will need to access the Status screen off the main menu. The following example will show the Research Leader approving the new invention and then the display of its level in the Status screen.

The Research Leader enters their name, approval date (will default to the current date) and checks Approve. Note, personnel who have signature codes will either manually enter their signature code or use the appropriate ? button to look up their code. They will not directly enter their name. Once the user has signed the record, they will choose the <Approve/Disapprove> button. There are numerous validation checks at this point to ensure the user has entered all required data before it can be sent to the next level. If the user receives a message that they need to correct or enter additional information, they will need to cancel their signature on this tab, complete the data entry/modification, and then resign the record.

To view the record now, return to the main menu, select Status -> Inventions – Patent Dockets.

The Patent Docket will display on this list and show that it is now at the CD/LD/DAD Level awaiting their review and signature. When the signature process is completed, the record will move to the Active File within a few minutes and be viewable by all personnel.

Plant Materials

Screens have been added to support capturing information on Plant Material Dockets. They follow the same layout and process as US Patent Dockets. There is a Work form where new Plant Material Dockets are added and existing ones are modified, there is a Status form that shows all the Plant Material Dockets currently in work and their level, and there is an Active form which shows all approved Plant Material Dockets.

Plant Materials have some of the same information as regular Patent Dockets such as the requirement to answer Disclosure questions and identify the breeders (inventors) of the material. They also have unique information for organizations that are releasing, producing and storing the material and International Plant Breeders Rights. Their signature process includes Research Leaders, CD/LD/DADs, Area Directors, NPS Plant Materials Coordinator, Deputy Assistant Administrator for OTT and the Associate Deputy Administrator.

Plant Material Dockets – Work Records

The user may create a new work record for a new Plant Material Docket using the Work Inventions – Plant Material Dockets screen. If there is an existing Plant Material Docket that needs modification, the user must first go to the Active -> Inventions – Plant Material Dockets screen, select the Plant Material Docket that requires modification, and then select Action -> Create Work Record.

Menu Selection
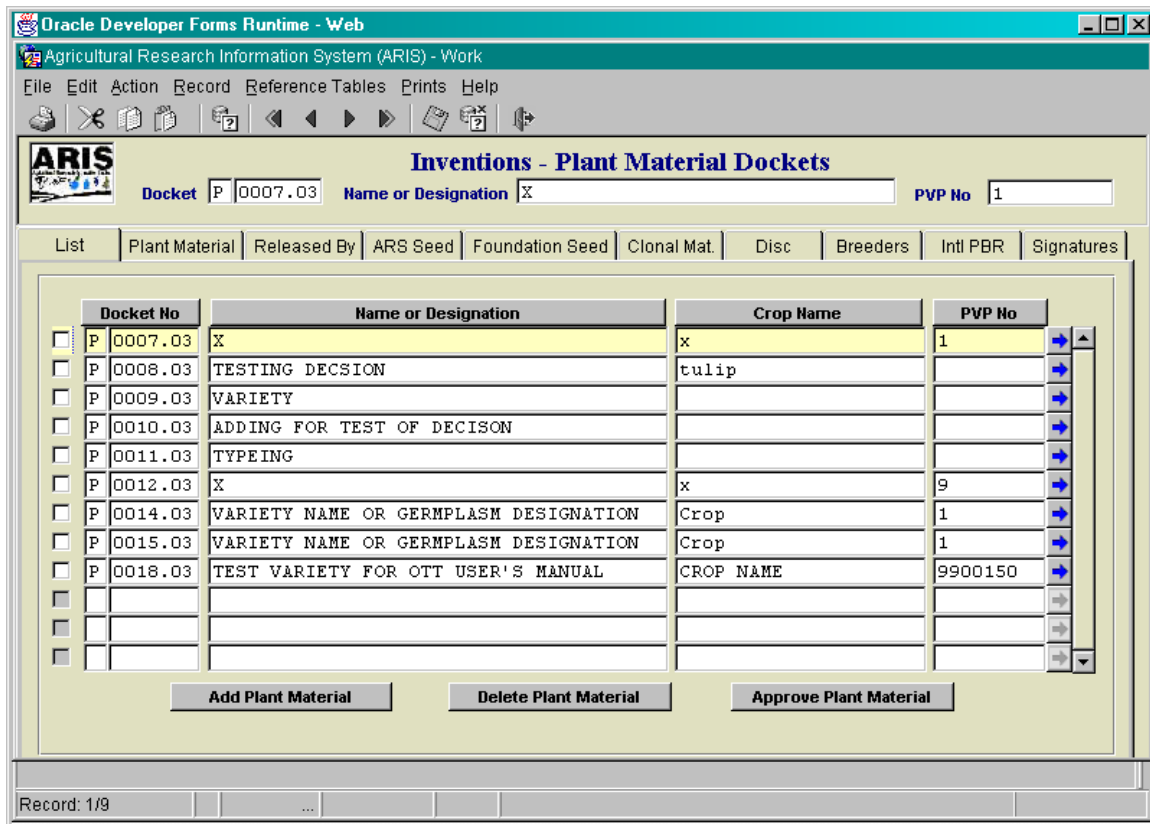
To access Work Records for Plant Material Dockets, select the Menu option
Work -> Inventions – Plant Material Dockets.
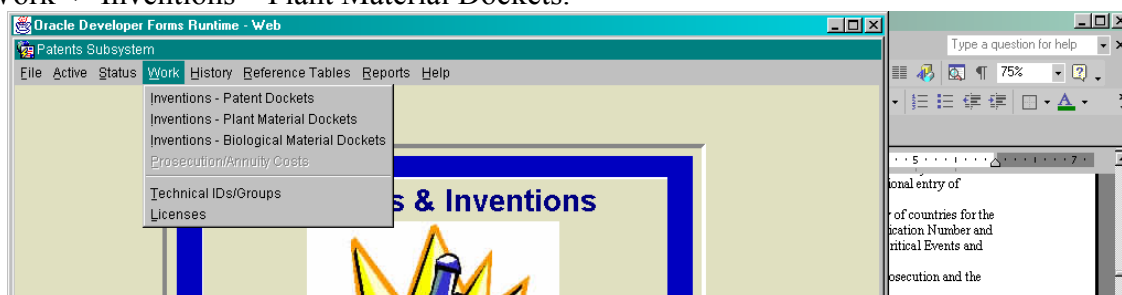
List Screen

The form will automatically query the work records that are applicable for your user level and modecode. The list screen will show the Docket Prefix (always a 'P' for Plant Materials), Docket Number, Fiscal Year, Name or Designation, Crop Name and PVP Number.

The ➡ at the end of each record will let the user query and view licenses related to the selected Plant Material Docket.

Adding a Plant Material Docket

To add a new Plant Material Docket, select <Add Plant Material>.
When adding a Plant Material invention, certain fields are defaulted based on your user role and profile. For Field Level personnel, which includes Research Leaders, CD/LD/DADs, and Area Directors, the Docket No and FY will default for the current FY. The example below shows the screen for an invention being added by a Research Leader.

For Headquarters personnel, the Docket No and desired FY must be selected from an available list.

Plant Info Screen

This tab displays the main information for the plant material. The required fields for initial data entry are:

Docket No
FY
Variety Name or Germplasm Designation

At that point the Plant Material Docket may be saved and data entry can be continued for Organizational, Breeder, Disclosure and International Plant Breeder's Rights information.

Additional information should then be entered. *The user should indicate whether the variety should be sold only as a class of certified seed.* If the answer is yes, the user will be required to answer disclosure questions 5 and 6 before approving the Plant Material Docket. The user should indicate whether the plant material is a candidate for variety protection. If there is a GRIN Accn No, enter in the field provided. Then clicking on the hyperlink 'Link to GRIN Database – Accession Area' will launch another internet window and automatically navigate to the GRIN Database for the Accession No entered (see example below). If there is a PVP No, enter in the field provided. Then clicking on the hyperlink 'Link to GRIN Database – Plant Variety Protection Info' will launch another internet window and automatically navigate to the PVP info for the PVP number entered (see example below).
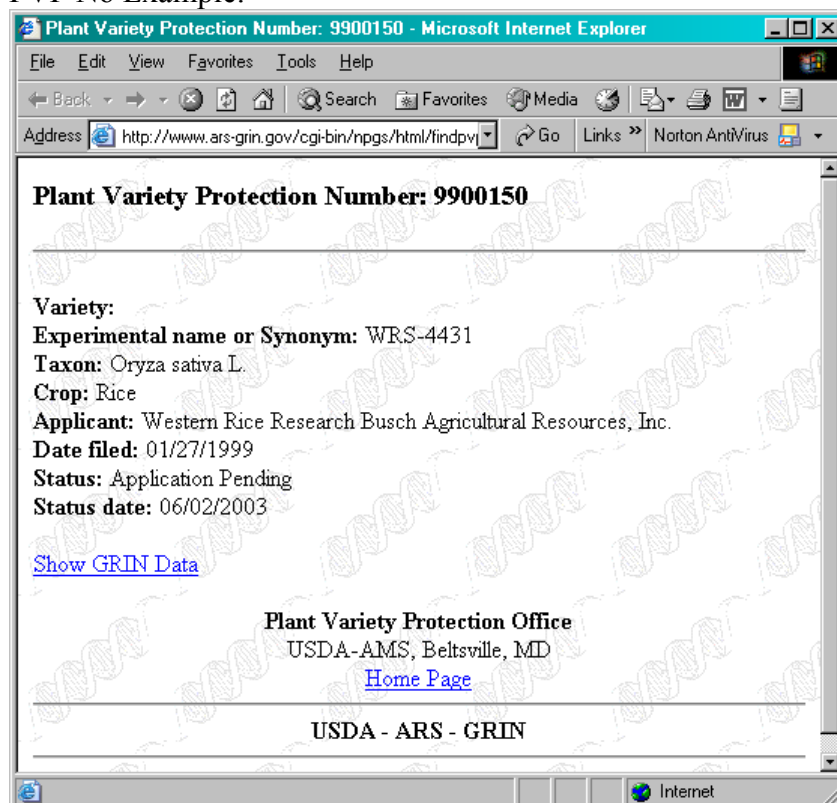
Main screen example:

Upon saving, the application will automatically correct the Genus name to start with an uppercase letter and followed by all lowercase, and the species name to be all lowercase.

GRIN Accession Number example:
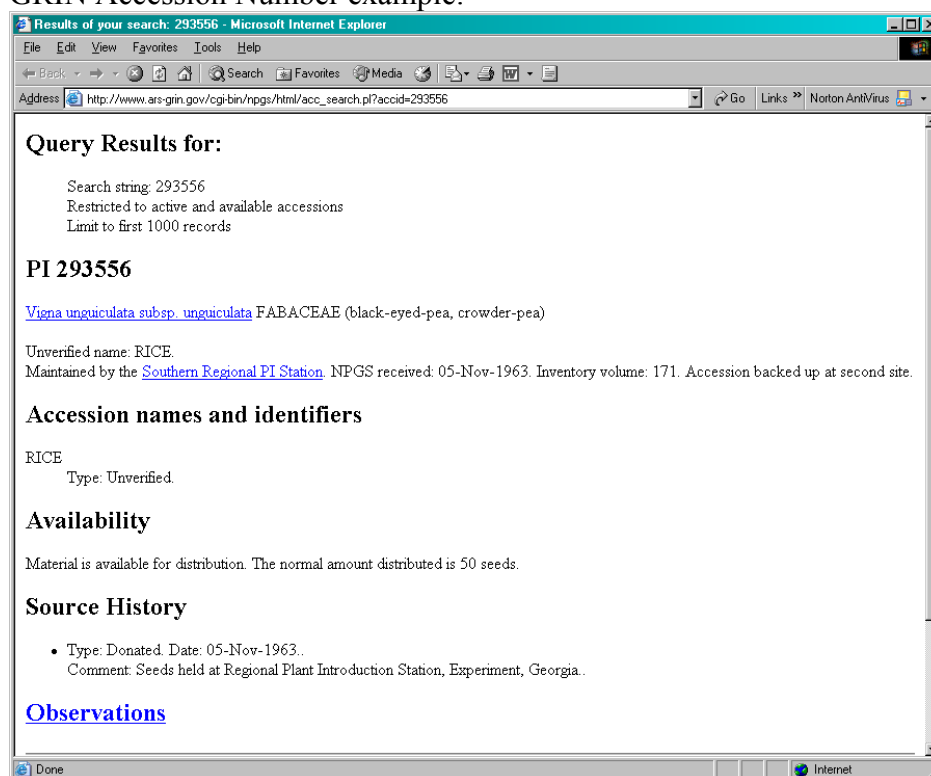
PVP No Example:

A Plant Material invention may result in a US or Foreign Patent Docket. In that case, the resulting Patent Docket and Patent No can be referenced in the Patent Docket No and Patent No fields. Choose the applicable Patent Docket and the corresponding Patent No will also be displayed. *This is the only place that a link between an original Plant Material Docket and a resulting Patent Docket can be identified.* The user should also indicate the final outcome for the Plant Material invention. The choices are shown in the screen below:

View/Modify Decision

Plant Material Dockets require a Decision Memo. The text of the decision memo will be used for the Release Notice and should follow the format example given.

***********need example of decision for release notice****

Released By

The user should specify if this Plant Material is an ARS Release or a Joint Release. If it is a Joint Release, the user may lookup the associated CRADA Agreement No and enter information for the organization(s) involved in the Joint Release.
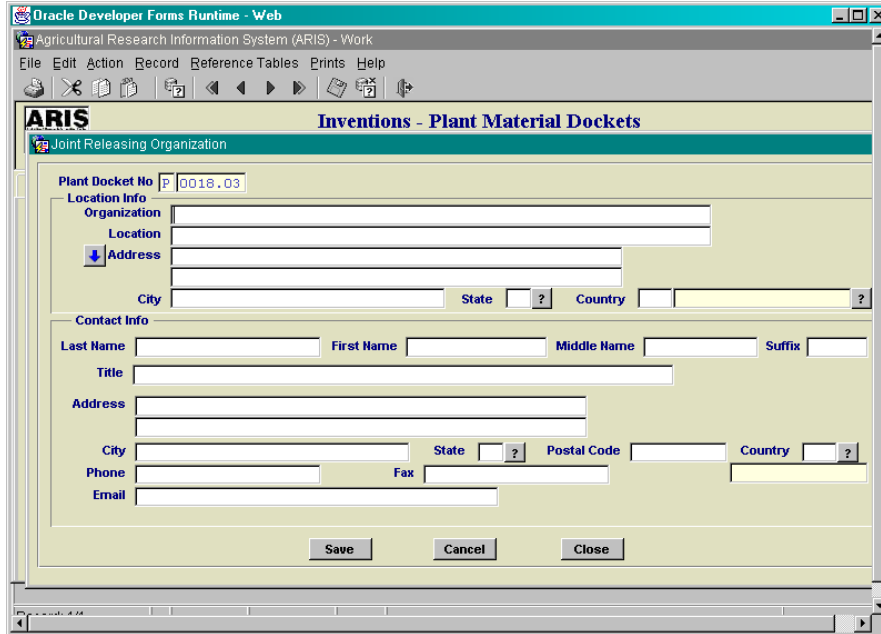
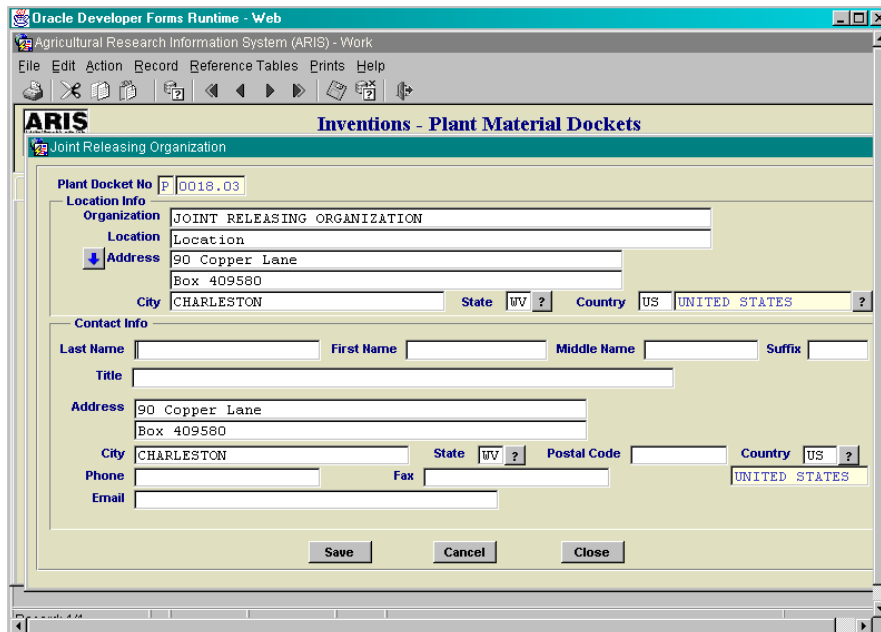## Adding a Organization

To add organizational information, select the <Add Organization> button. The following
will display:

Enter the Organizational information. The ⬇ is provided to allow the user to copy the
address entered into the organizational block down into the contact info block.

After entry, select 'Save'. The pop-up will close and the Organization will be on the main
screen list.

View/Modify Organization

To make modifications to an Organization's information, select the organization on the list.

Choose View/Modify Organization which will show the data as follows:
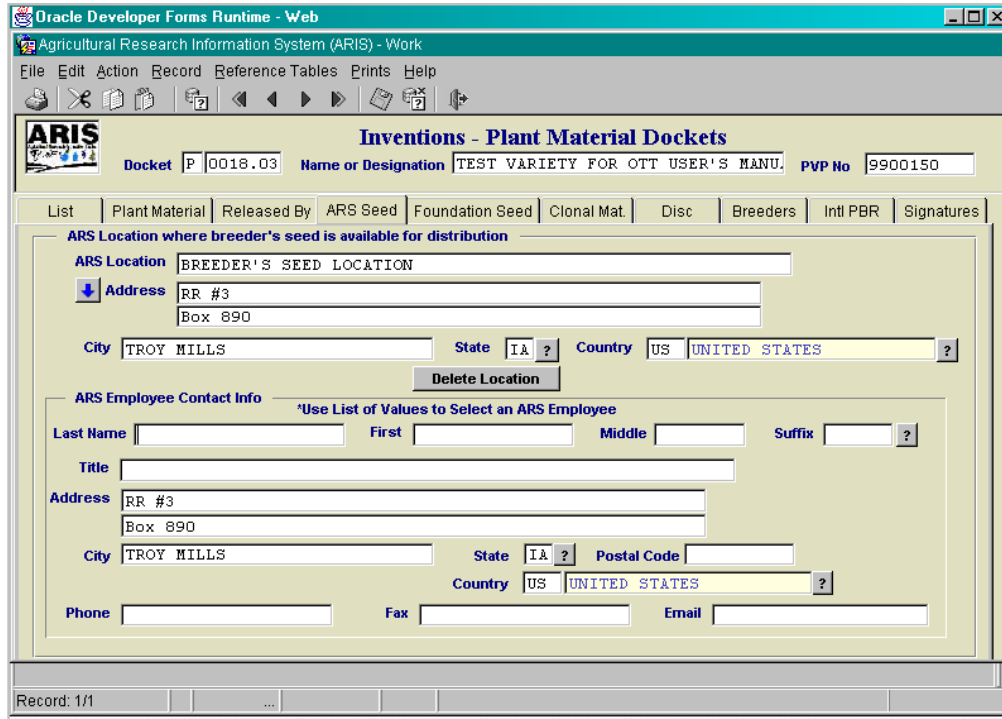
Modify the desired fields and click <Save> to apply the changes.
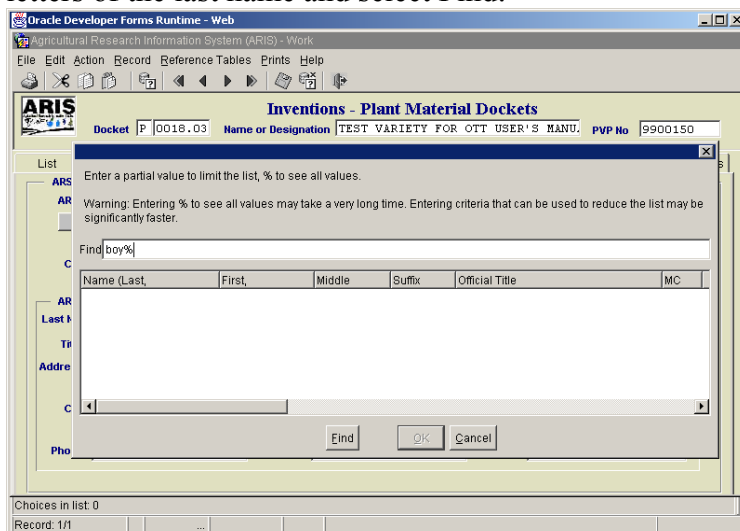
ARS Seed (for Distribution)

This screen is used to enter the ARS Location information for where the seed is located and available for distribution. There can be only one ARS location for seed distribution.

The ⬇ can be used to copy the ARS Location address to the Contact Info block. The Contact must be an ARS person, use the [?] button which will provide a search feature. *Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.*

Selecting the [?] button for ARS Contact will display the following, enter the first few letters of the last name and select Find:

This will return all employees that match the criteria entered as shown below:

Select the employee and hit <OK> to return the information to the main screen:

The user may enter additional information for the ARS Contact including phone, fax and email. To delete this location and the contact information, select <Delete Location>.

Foundation Seed (for Distribution)

This screen is used by breeders of seed material to enter the Foundation Seed Location where the seed is located and available for distribution. *There can be only one location for foundation seed.* It is direct entry/modify. To delete the organization and contact info, select <Delete Organization>.

Distribution – Clonal Material

Clonal Material is different since there may be many nursery(ies) that have the material available. *There should be one ARS location specified for the handling of clonal material with an ARS Contact specified.* The Contact must be an ARS person, use the ? button which will provide a search feature. *Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.* To delete this location

Selecting the '?' button for ARS Contact will display the following, enter the first few letters of the last name and select Find:

This will return all employees that match the criteria entered as shown below:

Select the employee and hit <OK> to return the information to the main screen:

Adding/Modifying Nursery(s)

There may be multiple Nursery locations that have clonal material available.
These are entered in the bottom block of the Distribution – Clonal Material Screen.

To add a new nursery, select <Add Organization> which will display the following:

Enter the information for the nursery and a primary contact (the address from the location block may be copied down to the contact info block using the <down arrow icon> :

Select <Save> to save changes and return to the main screen.

To modify information for a nursery, select it on the list and hit <View/Modify>.
To delete a nursery, select it on the list and hit <Delete Organization>.

Disclosure/Detailed Description

It is required that the user answer four to six questions to disclose the invention. The responses to these questions provide a complete description of the invention. Upon clicking the Disclosure tab, the user will see a tab for each question. The user should questions 1 thru 4. *If the plant material is a candidate for Plant Variety Protection, the user must answer questions 5 and 6.*

Question 1

Question 2

Question 3

Question 4

Question 5

Question 6

Breeders Screen

Breeders of Plant Materials are the same as 'inventors' of patentable inventions. The information captured for ARS breeders and Non-ARS breeders is the same as the information for inventors. The user entering the plant material will be required to select at least one breeder who is designated as the Primary Contact before he will be allowed to approve the invention. The breeder designated as the Primary Contact will be considered the Lead Breeder. The Modecode for the project of the lead breeder will be used for controlling access to the plant material record. This is important since many users have modecode restrictions and although the user is allowed to pick any ARS person as the lead breeder, if the user does not have access to his modecode assignment, the plant material record will 'disappear' from their work queue.

The Breeders tab screen presents the list of breeders and details for the breeder selected on the list. The following sections will show how to Add an ARS or Non-ARS Breeder.

Adding an ARS Breeder

To enter an ARS Breeder, click the Add ARS Breeder button on the Breeders tab page. This will display screen below. The Agency will default to ARS and will not be modifiable.   The user will query and select from a list of ARS employees by clicking the ? button. Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.

Selecting the [?] beside the Inventor name field will display the following screen:

This is an interactive screen where the user may enter query criteria, hit <Search> and review the list of employees returned, clear or modify the criteria, hit <Search> again and retrieve a new list. There are options for searching only current employees, only former employees (retired or left the agency) or both. Select the corresponding radio button for Current Employee, Former Employee, or Both. The default is to only search current employees.

In this example, the user is retrieving all employees in Modecode 12-65-20. The user will then scroll the list, or modify the criteria and research. Once the correct employee has been found, the user will choose the <Select> button.

This will return the selected employee to the previous Add ARS Breeder screen. Since this is the first breeder, the application has set the default for this person to the Primary Contact. The user may change this setting. The user may now enter additional information about the employee including phone, fax and email. The user may also check if this is a former employee or if the employee is known to be deceased. The next step is to choose the project the employee is assigned under while working on this plant material. Click the ? next to Project No.

This will automatically look for projects the employee is assigned to as an investigator. The results will be displayed in a list as shown below. *If the desired project is not shown, the user may clear the query criteria and requery on new criteria. The user must clear out the previous query criteria before searching on another field such as Accn No.* If the desired project is not shown, the user may clear the query criteria and requery on new criteria. Once the correct project has been found, highlight it, and push the <Select> button.

This will return the project information to the previous screen:

All required information has been entered and the user may save the record by selecting the <Save> button.

The main tab will be redisplayed with the new breeder.

Adding a Non-ARS Breeder

To add a Non-ARS Breeder, select the 'Add Non-ARS Breeder' button from the main Breeder tab screen and the following will display:

All information for a Non-ARS breeder must be entered manually. The Agency/Organization name will accommodate 100 characters. *For consistency of use and to aid in querying, the business rule is to enter the full name of the Agency or Organization (e.g. University of Illinois at Urbana-Champagne).*   There are List of Values available for State and Country codes.

Once the data for the Non-ARS breeder has been entered, select the Save button. The application will be returned to the list and will display all breeders.

International PBR (Plant Breeder's Rights) Screen

The user will be allowed to enter Country information for each country where the Plant Material has been filed. The user will enter the Country, Application No, Date Filed, Certificate No, Certificate Date, and Comments.

Adding a Plant Breeder's Rights Record

Select the <Add PBR Record> button. This will turn the list on in add mode indicated by the change in color of the highlighted row.

The user may manually type in a country code or use the List of Values available by selecting the [?] button next to the Country Name. Selecting the List of Values will display a list as shown:
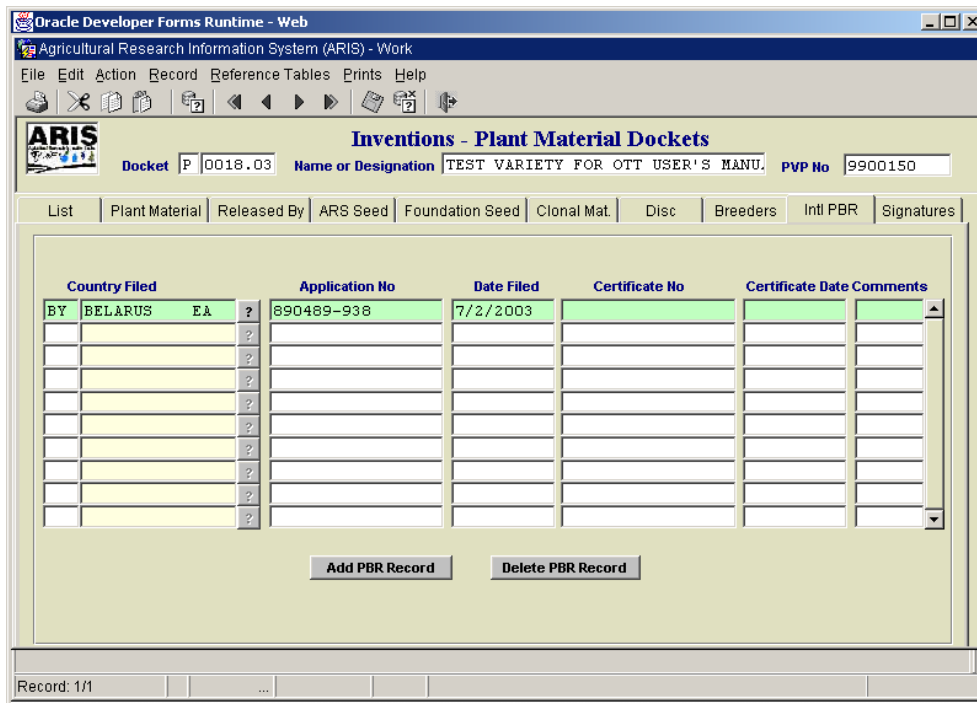
Select the Country or Country Group Code (such as All European) and hit <OK>. Enter other known information:

The user may continue to enter other records by scrolling down the list. Select <Save> on the main toolbar when finished. The highlighting will return to normal and indicate that the list is no longer in 'insert' mode.

To delete a PBR record, select it on the list and then select <Delete PBR Record>.

Signature Screen

The Signature Screen for Plant Materials follows a similar approval process as patentable inventions follow. To approve the invention work record, the user will sign in the correct signature block for their level.   There are designated rules for the work flow of a work record. Usually, a Research Leader will approve the initial invention disclosure (work record) and it will be 'sent' to either the CD/LD/DAD for his area/location or directly to the Area Director depending on the user's security level. Alternatively, if necessary, a new record can be created at HQs. This will shorten the approval process. Once the user has approved the record, they will no longer see it in their work queue for modification. To view its current status, the user will need to access the Status screen off the main menu. The following example will show the Research Leader approving the new invention and then the display of its level in the Status screen.

After the Research Leaders approval, depending on his security level, the docket will require a CD/LD/DAD approval or go directly to the Area Director. The NPS Plant Materials Coordinator will be the next approval, then the Deputy Assistant Administrator of OTT and finally the Associate Deputy Administrator. Once a work record has completed its approval process, the record will become part of the active file.

The Research Leader enters their name, approval date (will default to the current date) and checks Approve. Note, personnel who have signature codes will either manually enter their signature code or use the appropriate [?] button to look up their code. They will not directly enter their name. Once the user has signed the record, choose the <Approve/Disapprove> button. There are numerous validation checks at this point to ensure you have entered all required data before it can be sent to the next level. If the user receives a message that they need to correct or enter additional information, they

will need to cancel their signature on this tab, complete the data entry/modification, and then resign the record.

To view the record now, return to the main menu, select Status -> Inventions – Plant Material Dockets.

The Plant Material Docket will display on this list and show that it is now at the CD/LD/DAD Level awaiting their review and signature. When the signature process is completed, the record will move to the Active File within a few minutes and be viewable by all personnel.

Biological Materials

Screens have been added to support capturing information on Biological Material Dockets. They follow the same layout and process as US Patent Dockets. There is a Work form where new Biological Material Dockets are added and existing ones are modified, there is a Status form that shows all the Biological Material Dockets currently in work and their level, and there is an Active form which shows all approved Biological Material Dockets.

Biological Materials have some of the same information as regular Patent Dockets such as the requirement to answer Disclosure questions and identify the inventors of the material. They also have unique information for the type of biological material, distribution information for ARS and non-ARS locations, publication and CRADA information. Their signature process is abbreviated and includes Research Leaders, Technology Transfer Coordinator, and Technology License Program Coordinator.

Biological Material Dockets – Work Records

The user may create a new work record for a new Biological Material Docket using the Work Inventions – Biological Material Dockets screen. If there is an existing Biological Material Docket that needs modification, the user must first go to the Active -> Inventions – Biological Material Dockets screen, select the Biological Material Docket that requires modification, and then select Action -> Create Work Record.

Menu Selection
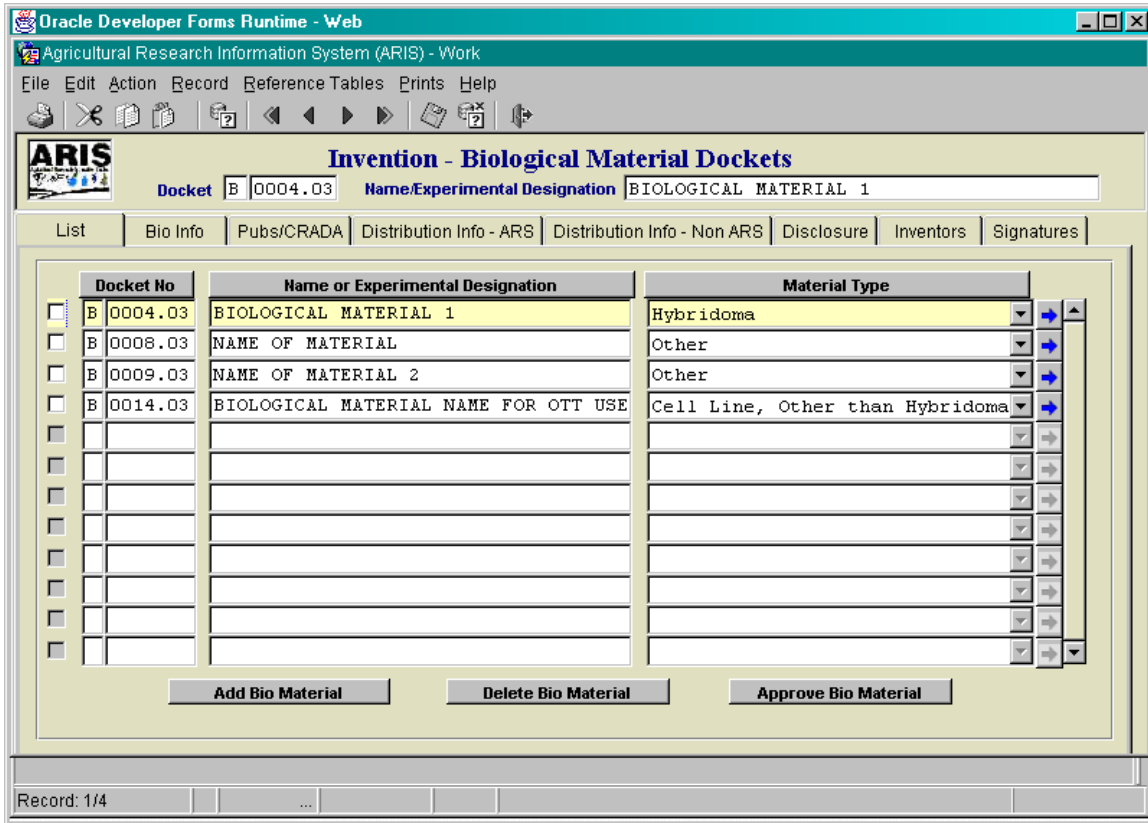
To access Work Records for Biological Material Dockets, select the Menu option Work -> Inventions – Biological Material Dockets.
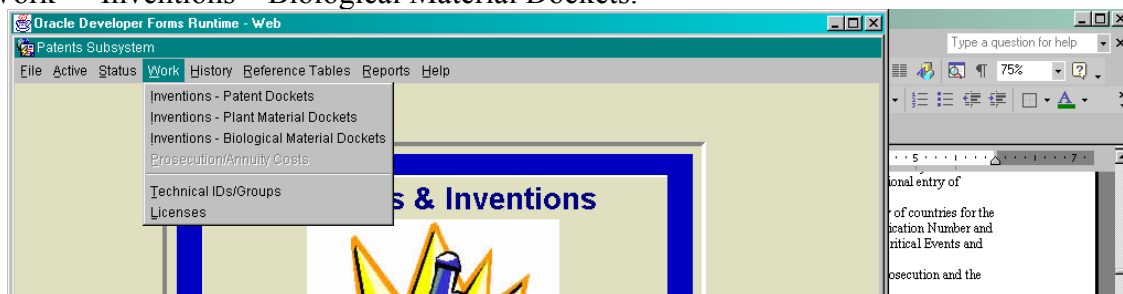
List Screen

The form will automatically query the work records that are applicable for your user level and modecode. The list screen will show the Docket Prefix (always a 'B' for Biological Materials), Docket Number, Fiscal Year, Biological Material Name and the Material Type. To view and modify a Biological Material Docket, select it on the list and then select the desired tab screen.

The ➡ icon at the end of each record will let the user query and view licenses related to the selected Biological Material Docket.

Adding a Biological Material Docket

To add a new Biological Material Docket, select <Add Biological Material>.
When adding a Biological Material invention, certain fields are defaulted based on your user role and profile. For Field Level personnel, which includes Research Leaders, CD/LD/DADs, and Area Directors, the Docket No and FY will default for the current FY and the Type of Biological Material will be defaulted to Hybridoma (which requires entry in the three subfields: Immunogen used, Antibody Class Produced, and Antigenic Specificity). The example below shows the screen for an invention being added by a Research Leader.

Biological Material Main Screen

This tab displays the main information for the biological material. The required fields for initial data entry are:

Docket No

FY

Biological Material Name

Type of Biological Material

At that point the Biological Material Docket may be saved and data entry can be continued for Publication and CRADA info, Distribution info, Disclosure, and Inventors. The user may optionally enter a synonym or alternative designation and a more detailed description of the biological material on this tab screen.

Publications/CRADA Screen

The Pubs/CRADA tab screen is to capture additional information about related publications and/or CRADA agreements. If there is a publication reference, select 'Yes' and then provide the literature citation. If there is a CRADA agreement related to this biological material, select 'Yes' and then use the List of Values to choose the correct Agreement Number (see example below).

TINS CRADA Agreements List of Values Example:

Final Screen example:

Distribution Info Screen - ARS

For Biological Material, it is required to track the actual physical location(s) of the material (which essentially grants the license), the handler of the material for that location, and, if required, the person responsible for shipping the material.

Shipping Contact Pop-up Screen

Adding an ARS Location

To add an ARS Location, select <Add ARS Location> and the following pop-up screen will appear.

For ARS Location, enter the full name of the location. The [↓] button will copy the address entered for the location down to the Contact Info and Shipping Contact Info blocks. Enter the Location information. The contacts at this ARS site should be ARS personnel so use the List of Values [?] button to select the ARS person. *Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.* After the List of Values is invoked, type the first few letters of the person's last name.

Then select the <Find> button. This will display a list that matches the search criteria.

Highlight the correct employee and select <OK>. This will return the employee's information to the previous screen.

Repeat this procedure for selecting the shipping contact.

To save entry, select <Save>.

The user will be returned to the main screen and the ARS organization will be displayed.

Distribution Info – Non ARS

In some cases, biological material may be stored at a non-ARS facility. *There can be only one non-ARS location entered for a single biological material.* The screen is direct entry. The ⬇ can be used to copy the organizational address down into the Contact Info and Shipping Contact block. The location information may be deleted by selecting <Delete Location>.

Example:

Disclosure/Detailed Description Screens

It is required that the user answer four questions to disclose the invention. The responses to these questions provide a complete description of the invention. Upon clicking the Disclosure tab, the user will see a tab for each question. The user should answer each question.

Question 1

Question 2

Question 3

Question 4

Inventor Screens

The user entering the biological material docket will be required to select at least one inventor who is designated as the Primary Contact before he will be allowed to approve the invention. *The inventor designated as the Primary Contact will be considered the Lead Inventor.* The Modecode for the project of the lead inventor will be used for the invention. This is important since many users have modecode restrictions and although you are allowed to pick any ARS person as the lead inventor, if you do not have access to his modecode assignment, the invention record will 'disappear' from your work queue.

The Main Inventor screen presents the list of inventors and details for the inventor selected on the list. The following sections will show how to Add ARS or Non-ARS Inventors.

Adding an ARS Inventor

To enter an ARS Inventor, click the <Add ARS Inventor> button on the Inventor tab page. This will display screen below. The Agency will default to ARS and will not be modifiable.   The user will query and select from a list of ARS employees by clicking the [?] button. Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.

Selecting the ? beside the Inventor name field will display the following screen:

This is an interactive screen where the user may enter query criteria, hit <Search> and review the list of employees returned, clear or modify the criteria, hit <Search> again and retrieve a new list.

In this example, the user is retrieving all employees in Modecode 12-65-20. The user will then scroll the list, or modify the criteria and research. Once the correct employee has been found, the user will choose the <Select> button. There are options for searching only current employees, only former employees (retired or left the agency) or both. Select the corresponding radio button for Current Employee, Former Employee, or Both. The default is to only search current employees.

This will return the selected employee to the previous Add ARS Inventor screen. Since this is the first inventor, the application has set the default for this person to the Primary Contact. The user may change this setting. The user may now enter additional information about the employee including phone, fax and email. The user may also check if this is a former employee or if the employee is known to be deceased. The next step is to choose the project the employee is assigned under while working on this invention. Click the ? next to Project No.

This will automatically look for projects the employee is assigned to as an investigator. The results will be displayed in a list as shown below. *If the desired project is not shown, the user may clear the query criteria and requery on new criteria. The user must clear out the previous query criteria before searching on another field such as Accn No.* If the desired project is not shown, the user may clear the query criteria and requery on new criteria. Once the correct project has been found, highlight it, and push the <Select> button.

This will return the project information to the previous screen:

All required information has been entered and the user may save the record by selecting the <Save> button.

The main tab will be redisplayed with the new inventor.

Adding a Non-ARS Inventor

To add a Non-ARS Inventor, select the 'Add Non-ARS Inventor' button from the main Inventor tab screen and the following will display:

All information for a Non-ARS inventor must be entered manually. The Agency/Organization name will accommodate 100 characters. *For consistency of use and to aid in querying, the business rule is to enter the full name of the Agency or Organization (e.g. UNIVERSITY OF ILLINOIS).* There are List of Values available for State and Country codes.

Once the data for the Non-ARS inventor has been entered, select the Save button. The application will be returned to the list and will display all inventors.

Signature Screen

To approve the invention work record, the user will sign in the correct signature block for their level.   There are designated rules for the work flow of a work record. Usually, a Research Leader will approve the initial work record and it will be 'sent' to either the CD/LD/DAD for his area/location or directly to the Area Director depending on the user's security level. Alternatively, if necessary, a new record can be created at HQs. This will shorten the approval process. Once the user has approved the record, they will no longer see it in their work queue for modification. To view its current status, the user will need to access the Status screen off the main menu. The following example will show the Research Leader approving the new invention and then the display of its level in the Status screen.

To approve the invention, Research Leaders will enter their name, the approval date (which will default to the current date) and check the approve checkbox. Note, personnel who have signature codes will either manually enter their signature code or use the [?] button to look up their code. They will not directly enter their name. Once the user has signed the record, click the <Approve/Disapprove> button. If all required information has been supplied, the invention will move to the next level for the Technology Transfer Coordinator's review. If the user receives a message that they need to correct or enter additional information, they will need to cancel their signature on this tab, complete the data entry/modification, and then resign the record.

To view the record now, return to the main menu, select Status -> Inventions – Biological Material Dockets.
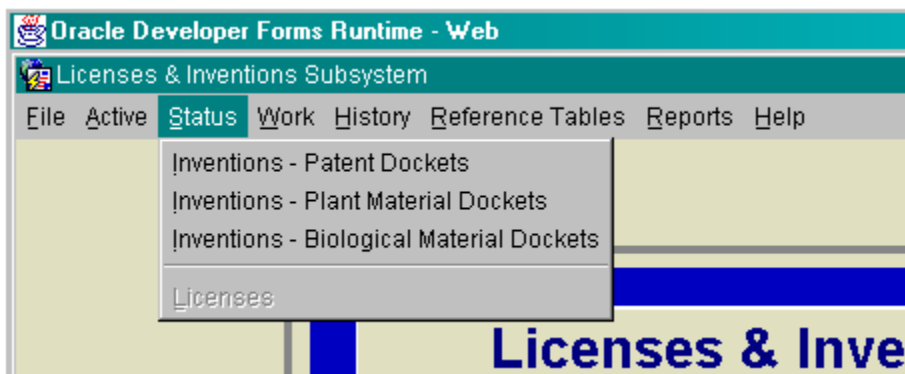
The Biological Material Docket will display on this list and show that it is now at the TTC Level awaiting their review and signature. When the signature process is completed, the record will move to the Active File within a few minutes and be viewable by all personnel.

4. License Subsystem

Licensing – Technology Transfer IDs

Licenses were previously based on selecting one Serial Number and creating a new license for that Serial Number. This was inadequate to support licensing needs. Some inventions are not patent applications, for example Plant Variety Protection Certificates. Some inventions must be licensed off a provisional serial number or under a foreign patent. Other licenses must be for multiple inventions.

Licensing personnel will now group inventions under a Technology Transfer ID. This ID will identify and describe a related group of inventions. It may include Patent Dockets, Plant Material Dockets and/or Biological Material Dockets. Licenses will then be created under a TT ID and given a sequential number within that TT ID. The user will have the capability to tailor each license under the TT ID and include all or selected dockets available for the license. (There will be instances where a TT ID may group several patents for related technology, but the license for a specific company may be for only 1 of the patents within the TT ID group).

Technology Transfer IDs (TT IDs)

Technology Transfer IDs will be a 6 digit number of the user's designation and will be given a group description. It will be helpful to keep the description short since it will be displayed on licensing screens for information on the license. *The group description should be unique, short and recognizable.* The description should identify the technology being grouped.

Menu Selection

To create and modify Technology Transfer IDs, select Work – > Technology Transfer IDs/Groups. Work is the area where users are allowed to create and modify Technology Transfer IDs. There is no approval process. The same information may be viewed under the Active screens but Active screens do not allow modification of the information. Only selected personnel will have access to the work area of Technology Transfer IDs.
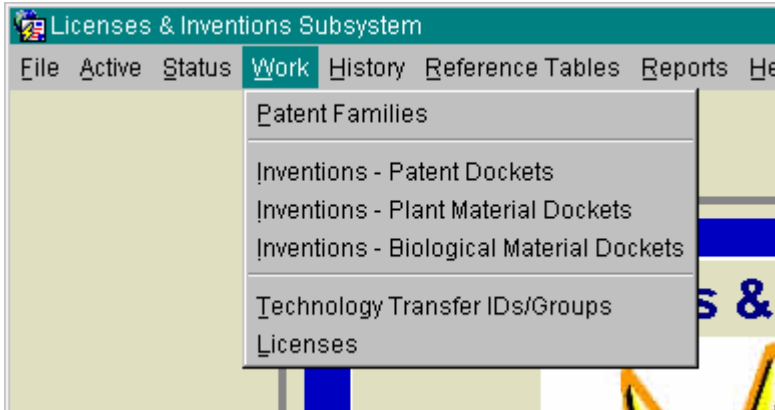
List Screen

This screen will list all the TT IDs currently in the system. A TT ID may be 'obsoleted' over time so that it is no longer used for licensing. During the conversion from the old ARIS data to this method, a TT ID was automatically generated for existing licenses based on the patent docket number the serial number was assigned to. This was done to retain as much data as possible. The OTT Licensing Group will re-enter data for all licenses that are currently active. The older, terminated licenses will be retained for historical reference with TT IDs of 900,000 and higher.

TT ID Grouping Screen

The list of Dockets that have been grouped under the TT ID are displayed on the TT ID Grouping tab screen. The docket description is built based on the type of invention. If it is a Patent Docket, the docket description will be the Invention Title, Patent No and Serial No; for a Plant Material, the docket description will be the Plant Name and the Breeder specified as the primary contact; and for a Biological Material, the docket description will be the Biological Material Name and the inventor specified as the primary contact. This screen allows the user to update the Group Description, change the status code (Active or Obsolete) and update the status date. *The group description should be unique, short and recognizable.* The list of Dockets is view only. Maintaining the Docket List is done on the 'Maintain TT ID Docket List' tab screen.

Licenses

This tab screen shows the licenses currently assigned to the TT ID Group selected on the list screen (and displayed in the header). It is a view only list. *Note it shows licenses that are in Active as well as licenses that are currently in work.* The user can select a license and hit ➡ to go to the license form and view the details of the license. The user can also choose to Add a License to this TT ID Group (which will navigate to the work license form and automatically query all licenses currently in work that are under the selected TT ID).

Maintain TT ID Docket List

This tab screen presents the list of Dockets currently assigned to the TT ID selected on the list screen and displayed in the header. This is an interactive screen. The user may query Dockets with the query criteria entered in the Query box (Docket Prefix, Docket No, Serial No, Patent No, Title or Inventor Last Name), retrieve a list of dockets, assign a docket to the TT ID, clear the query criteria and requery with different criteria. Once criteria has been entered, select the <Query> button and the Query Results will be displayed in the tree structure shown on the left. The query will retrieve all dockets AND their entire patent family (if applicable) and display the list. The user may view select Docket details by highlighting a docket number on the tree and clicking the Docket Info Button (shown below). To move items to/from the Docket List, the user will highlight the Docket No on the tree structure and select the right arrow to move it to the Docket List. To remove an item from the Docket List, the user will select the left arrow. Note that moving an item from the tree to the Docket List will not actually remove it from the tree display. The user may chose to move items to and from the list and change query criteria to change the list to facilitate assigning Dockets to the TT ID group.

In this example, there is currently only one docket assigned to this TT ID.

Querying Dockets

We will enter query criteria, and select <Query>. In this example, we are querying anything with 'TURKEY' in the title.

There are 4 dockets that match our query criteria. We may choose to view the detailed docket information by selecting a node on the tree and selecting <Docket Info>.

Docket Info

Selecting Docket Info will navigate to the appropriate invention form (Patent Docket, Plant or Biological) and display the record selected. To return, simple exit this form.

Adding/Removing a Docket for the TT ID Group

To add a Docket to the TT ID Group, select it on the tree, and then click ➡️ to copy this docket into the list in the TT ID Block. To save the changes, select the <Save> button under the list. To remove the docket from the TT ID Group, select it and then click the ⬅️ to remove it. The user must save the changes after removing the docket from the list.

Licensing Inventions

Licenses will be created under Technology Transfer IDs (TT IDS). TT IDs will identify a group of related inventions. The group may include Patented Inventions, Plant Materials and/or Biological Materials. License Numbers will be sequentially assigned within a grouping of inventions (for a specific TT ID). Pending Licenses will be assigned a temporary number of 501 – 999 until they become an active license.   Active Licenses are sequentially numbered starting at 1 within each TT ID.

License Types

Pending Licenses

These are licenses that have a current license status of 'Pending'. They are given a temporary license number that is between 501-999 under the TT ID they have been assigned. A pending license will show a reduced set of tab screens. It will show the main license tab screen, the Companies tab screen so the user may enter the company that this license is pending for, the Pending tab screen which allows data entry of dates and information specific to pending licenses (shown below), the Comments tab screen and the Signature tab screen. If a pending license does not result in an actual license being awarded, the record is closed by changing the license status to 'Closed'.

Active Licenses

Active Licenses are licenses that are or have been active. Their current status may be 'Licensed' or 'Terminated'. Active Licenses are numbered from 1-500 based on the next available license number for the TT ID selected. They will show tab screens to support data entry of data that occurs on active licenses. This includes: Fee Info, Diligence, Income, Disbursements, and Patent Cost Reimbursements. Active Licenses may be terminated but all data is retained for historical reference.

In License

In Licenses occur when a co-owner of an invention grants rights to USDA. To indicate that the license being entered is an 'In-License', select the checkbox on the main screen:

This will enable an additional tab screen labeled In License to allow capture of specific information about the license. The co-owner is entitled portion of the income generated by the license as defined by agreement.

Licenses – Work Records

The user may create a new work record for a new License using the Work – Licenses screen. If there is an existing License that needs modification, the user must first go to the Active -> Licenses screen, select the License that requires modification, and then select Action -> Create Work Record. Pending and Active Licenses may have been approved to the Active File. It is good practice to check the Active file before entering the license information.

Menu Selection

To access Work Records for Licenses, select the Menu option Work -> Licenses.

List Screen

The License Number will be the Technology Transfer ID (TT ID) followed by a sequence number. Pending licenses will be assigned temporary numbers that are between 501-999 until they become active licenses. The Group Description will be the description entered for the TT ID. The type of license will be Exclusive, Co-exclusive, Limited Exclusive (Fields of Use), Limited Exclusive (Territory) or Non-Exclusive. As the licenses are scrolled, the header will show additional info for the License Status which will be Pending, Optioned, Licensed, Closed or Terminated. Only Pending Licenses can be 'Closed'. 'Optioned' technologies can be converted to licenses or be closed. Approved licenses can be 'Terminated'.

Adding a License

When adding a License, select the <Add License> button. There are two main selections when adding a license. First the user must query the correct Technology Transfer ID and retrieve the list of inventions for that TT ID. Then mark the inventions that are to be included in this license. Finally, indicate whether the application should create a Pending License or an Active License. Pending Licenses allow the user to capture additional information on dates and options.

The user may directly enter a TT ID and select <Query Docket List> or they may use the available list of values by selecting [?]. The following is an example using the list of values. The list will only display TT IDs that are considered 'Active'. If the user must license a TT ID that has been obsoleted, they must get the TT ID reinstated to 'Active' before they can create a new license.

Selecting a TT ID will then display that TT ID and all associated dockets assigned to that
TT ID.

In this instance, there is one Plant Docket and several Patent Dockets. Now mark the
dockets that are to be licensed under this new license and create either a Pending License
or an Active License. In the first example, we will create a Pending License. The
subsequent sections will show how to change a Pending into an Active License and how
to maintain Active License information.

The selection of the TT ID and the creation of a pending license has populated the data as
shown above. We must now enter additional information on the type of license, the
license company, and the pending license information.

Main Detail Screen

The main screen displays information on all the inventions that are part of the TT ID invention group and were selected to be part of this license during the add process as just described. The user may then enter or modify the additional license information such as the Type of License and License Status Comments.

The screen printout below shows the values for Type Of License. If this license were Exclusive by Fields of Use, the user must enter a textual description of the fields of use. If the license is Exclusive by Territories, then select the patent country group codes from the available List of Values in the Territories block.

There are two helpful features provided for maintaining the license data: Revise List and View Other Licenses.

Revise List

Selecting <Revise List> will redisplay the TT ID group information and allow the user to mark additional patents or remove patents from the license. In this example, selecting <Revise List> would display:

It marks the Dockets that are currently attached to this license. To add a new Docket to this license, simply check the box next to the desired patent (in this example, we will add the Plant Docket 16.03). Then select <Save>.

The docket added will now show on the main screen.

View Other Licenses

This feature provides a quick look-up for all other licenses that have the selected docket number referenced. It is to help ensure that duplicate licenses do not get entered for the referenced docket.

Companies Screen

Previously, the user could only enter one License Company for a license. This was inadequate since often licenses may be transferred to another licensee or extended to an affiliate. There may also be companies that are included as sublicensees. This screen allows the user to enter multiple License Companies and identify the type (Current Licensee, Original Licensee, Affiliate, or Sublicensee). For each license company, the user can enter contact information for two points of contact.   As the user scrolls the list of companies, the list of contacts will automatically update to show the data for the license company selected on the list. To add a new company, select <Add Company> which displays the pop-up shown on the next page.
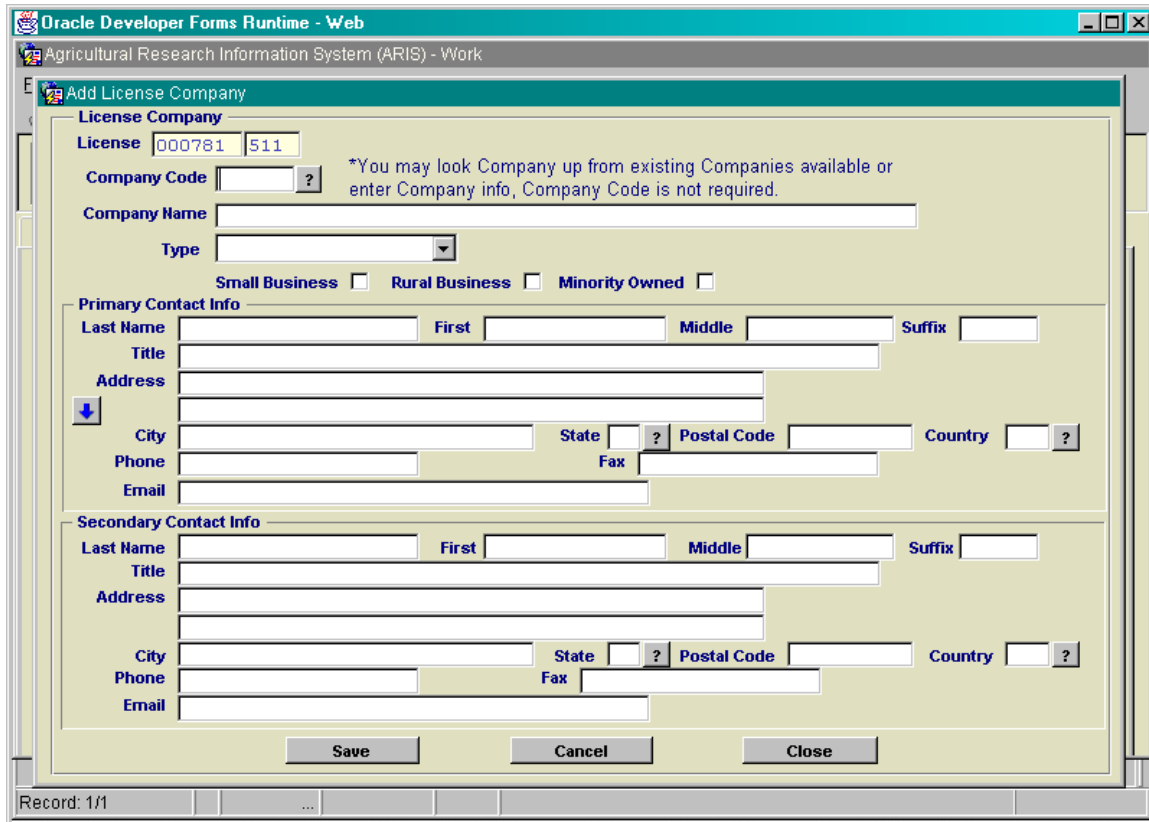
Adding a Company

When the user selects 'Add Company' from the main tab, the following pop-up will appear. The user may directly enter all company information. If this is a license company that has been previously entered on another license, the user may use the list of values available to select and default in information about the company. This information may be modified for this particular license. In this example, we will use the List of Values by selecting the ? button next to Company Code.

Note: This is a large pop-up, if you do not see the Save, Cancel and Close buttons; you will need to move the window to allow you to access these buttons. It may be helpful to hide your windows toolbar while working in this application if you find that the size of your display is an issue.

This example shows the list of values feature. The user may type several letters in which will automatically scroll the list to companies whose name matches the string they have entered. Select the company and click <OK>.

Information for the company will be returned into the Add License Company screen and may then be tailored for this license. The ⬇ button is provided as a convenience for copying the Primary Contact Address information to the Secondary Contact Info block.

The user must specify the type of company. For new licenses, the type of company will normally be 'Current Licensee'. The other available values are: Affiliate, Sublicensee, and Original Licensee. Original Licensee is used when a company transfers its license rights to another company. The new company becomes the 'Current Licensee' and the old company becomes the 'Original Licensee'. This is to ensure that data about the original licensee (such as if they were a small or minority owned business) is maintained for reporting purposes.

The example below has been completely filled out. This company is the current licensee (or in the case of a pending license, is expected to be the current licensee). If the company is currently Small Business, Rural Business or Minority Owned, the appropriate checkboxes should be marked to indicate its status. Select <Save> to save the entry and return to the main tab.

The main tab will now display the company information. To modify the company's information, select the company on the list and choose <Modify Company Info>.

Pending Screen

If the license created has a license status of Pending, this tab page will become displayed and be available for data entry. It allows assignment to an ARS Case Manager, and capture of Critical Date and Federal Register Notice information. It maintains the Pending Application Time Clock based on the dates entered. The rules for the Pending Application Time Clock are as follows:

- Complete App to Issue Date is calculated as the number of days between the Complete Application Date and the License Issue Date.
- Obj Days Held is calculated if there is a Notice Of Intent Expiration date. If Objections Received is checked, the application will use the Objections Resolved Date (or the current date if blank) and calculate the Obj Days Held as the number of days between the Objections Resolved and the Notice of Intent Expiration.
- Neg Days Held is calculated it the Case Reactivated Date is not null. It is calculated as the days between Case Reactivated and Negotiation On Hold date.
- App Pending Days is the Complete App to Issue Date minus Obj Days Held minus Neg Days Held.
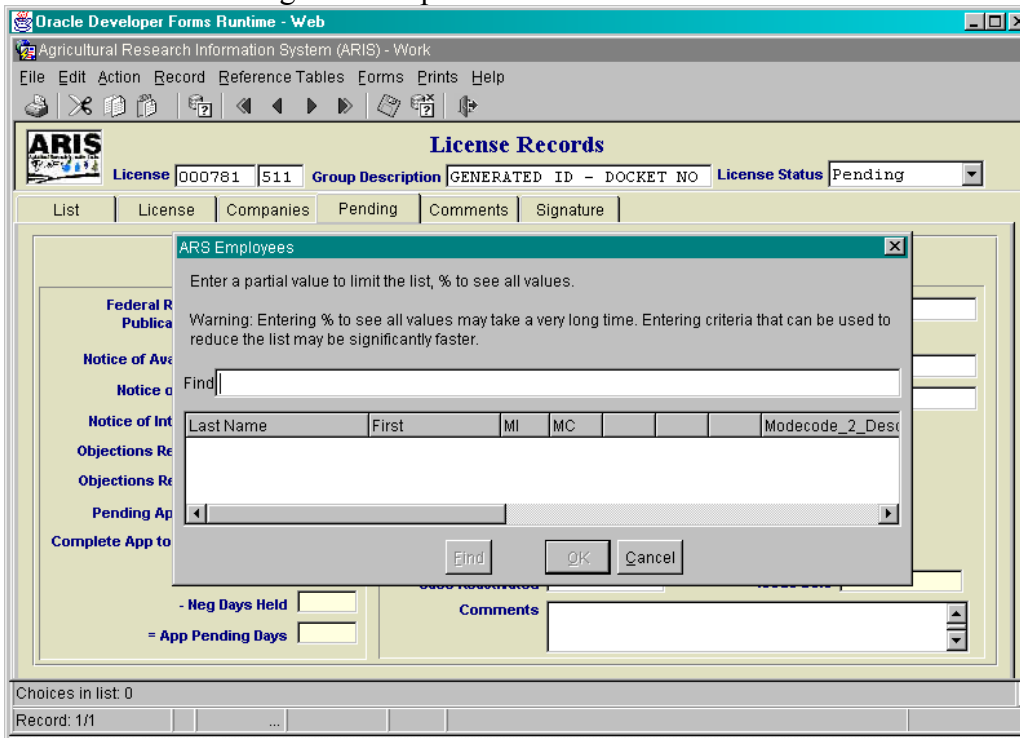
If there is an option associated with the pending license, that information can be entered by selecting the <Option Info> button.
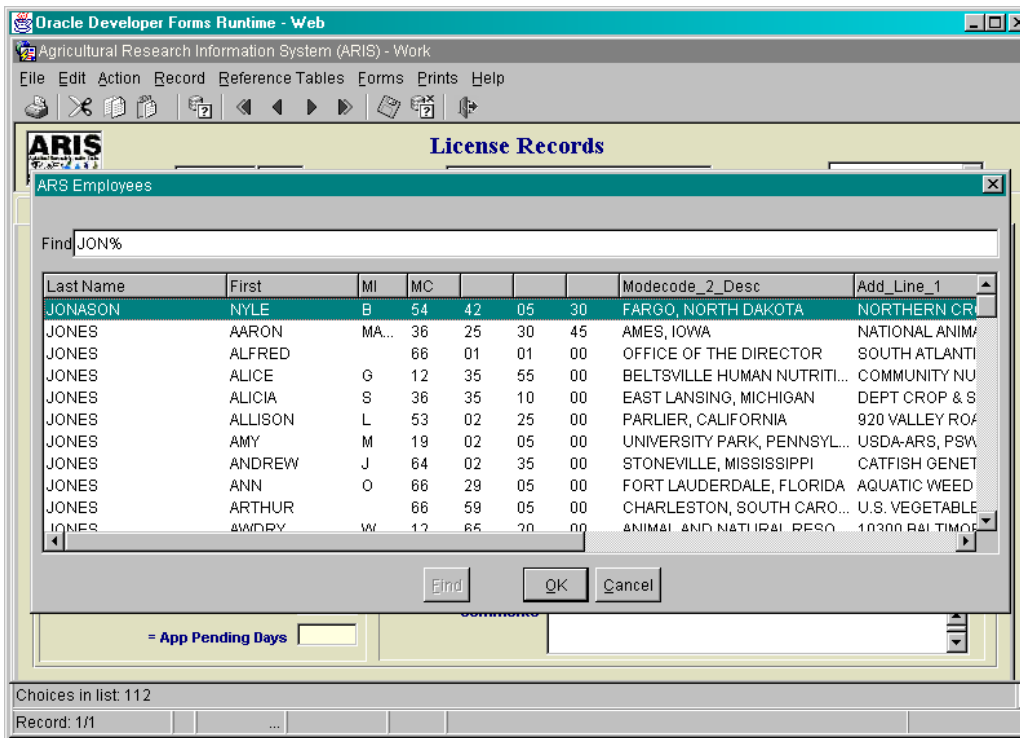
To assign this license to a Case Manager, select the List of Values button [?] .
The following will display, which allows the user to enter the first few letters of the last
name before retrieving from the personnel file.

Enter the first few letters and select <OK>.

Highlight the desired name and select <OK>.

This example has more information filled in.

Option Info

To enter data specific to an option, select <Option Info>. The following will display. The option screen allows the user to enter information related to the option such as effective date, expiration date, whether the option is renewable, and any diligence requirements. The user may also maintain report and payment information. The License Company entered in the License Company screen is the company that holds the option.

Comment Screen

The user may enter general License Comments and Resulting Product information on the Comments tab. This applies to all licenses regardless of their current license status.

Active Licenses

A license will typically be entered as a Pending License first. To change the status of a pending license to an active license, go to the Main Detail Screen for the Pending License.

Enter the Issue Date, change the License Status to 'Licensed', and update the License Status Date. Then save the changes. *The license number will automatically update to the next available sequence for the TT ID based on the current active licenses.* Therefore, the user will no longer recall this license using TT ID 000781, License Number 511. The following shows the screen after issuing the license and updating the license status.

As can be seen here, the license number is now 004, which was the next available.

The following sections address the additional data entry screens available once the license is active.

Fee Information Screen

This tab screen is used to capture fee information on issuing, annual fees, royalties, and patent cost reimbursement. Annual Fees may change from calendar year (CY) to calendar year. This info will be used by license personnel when entering income due records. Royalty Rate may be Fixed or Variable. A 'tickler' function is available to enter a 'due date' (Tickler Date) and a description of the item due (Tickler Description). If the Patent Costs are reimbursable, check the appropriate boxes in the Patent Cost Reimbursable box.

Diligence Screen

This tab page presents both Commercial Target info and Milestone info. For Commercial Targets, the user may identify a target date, describe the target, identify any associated Product Name and capture the date of first. For Milestone info, the user may enter a milestone description, the date met, and the payment amount.

Adding Commercial Targets

To add a commercial target, select the <Add Target> button. The highlight color will change in the commercial target block to indicate the list is now in Add mode. The user may enter as many records as they wish and then select save on the toolbar. To delete a record, simply highlight it and select <Delete Target>.

Adding Milestones

To add a milestone, select the <Add Milestone> button. The highlight color will change in the Milestones block to indicate the list is now in Add mode. The user may enter as many records as they wish and then select save. To delete a record, simply highlight it and select <Delete Milestone>.

Income Screen

The Income tab screen has two major functions:
        Track amounts and dates for items that are due.
        Track amounts and dates for items that have been received.

Entering and viewing income data is restricted to certain users. If the user does not see the income tab screen available, then they are not authorized to review or enter financial information.

There are different types of income, as shown in the example below; the income may be an Issue Fee, an Annual Fee, a Patent Cost Reimbursement payment, a Royalty payment or a Milestone payment. The type 'Income' was used to tag all historical data and is not intended to be used for new records where the distinct type can be specified.
Note: Patent Cost Reimbursement payments should be entered on the 'Reimburse' tab screen. Once they are received, they will automatically show up on the income screen. Do not double enter the received payment.
This screen also provides the capability to sort records by each column, mark records and calculate the total amounts received for the marked records. The buttons on the columns sort the data in ascending/descending order (alternating) for the column selected. The user may mark all income records easily by clicking the X button, or the user can manually check the boxes next to the records they wish to total. Once the desired records have been marked, select the <Calculate Total> button and the total will display in the field provided.

Add License Income

To Add License Income, select <Add License Income>. This will default in the current FY and put the list in Add mode as shown below. The user may continue to scroll down the list and enter as many income records as they wish before they choose to save. When finished, select the save icon on the toolbar. To delete a record, highlight the record on the list and select <Delete License Income>.

An example is shown below. The comments displayed are for the selected record.

Disbursements Screen

Income received must be disbursed to inventors and a specified amount sent to the Patent Revenue Account (PRA). The FMD (Financial Management Division) must be sent disbursement instructions and then they send the disbursement to NFC (National Financial Center). All ARS Inventors on any patent associated with the license is due a share of the income received. The top block will list each payment received and the overall disbursement to the PRA account and the total disbursed to all inventors. The Inventor Disbursement block shows how the total disbursement to inventors was allocated among all eligible inventors.

Entering and viewing disbursement data is restricted to certain users. If the user does not see the disbursement tab screen available, then they are not authorized to review or enter financial information.

Adding a Disbursement

When income is received, click the <Add Disbursement> button enter the information on the amount received and disbursed. This will default in the FY and put the list in Add Mode. The user may enter as many records as they wish while in Add mode by scrolling down the list. When finished, select Save. To delete a disbursement record, highlight the correct record and select <Delete Disbursement>.

When entering a disbursement, enter the amount received and the date, enter the amount disbursed to all inventors, and the amount to PRA will automatically calculate as the difference between the amount received and the amount disbursed to all inventors. Then enter the dates sent to FMD and NFC.

In this example, OTT has received a $20,000 payment and is going to disburse $10,000 to the eligible inventors.

Disbursing Funds to Eligible Inventors

Eligible inventors are any ARS employees (former or current) that are assigned under the patent inventions that were licensed as a part of this license. To aide in capturing the disbursement data, the function 'Build Inventor Disbursement List' is available. Select a disbursement record and then click the <Build Inventor Disbursement List> button. This will bring in all ARS inventors from the associated invention records as shown in this example.

It is a manual review process to determine if this is the correct and complete list. The user may delete those inventors who are not to receive any income by selecting the record and clicking <Delete Inventor Disbursement>. If an inventor is missing, he should ideally be added on the Patent record and then he will display here when building the list. However, there is a manually feature to add an ARS employee as an inventor to receive disbursement.

Inventors are currently limited to receiving $150,000 per calendar year in disbursements. There is a check in the application if the disbursement being entered makes the inventor's total exceed the limit. The user is then given the opportunity to reduce the disbursement. The error message will inform the user of the total funds received thus far this calendar year and the difference the inventor is eligible to receive.

Adding an Inventor Manually

To add an additional inventor to the example shown above, select <Add Inventor Manually>. This will display the following.

This will put the inventor disbursement list in Add mode and enable the List of Values button [?] to be used to select an ARS employee. The user must manually enter the Docket Number that this inventor is being disbursed to under.

Selecting the list of values will display:

This will allow the user to enter the first few letters of the employee's last name. All employees will be shown, including employees that have left the agency.

Select the appropriate employee and then select <OK>.

This will return the employee to the inventor list as shown here:

Now enter the amount disbursed to each inventor which should total the amount distributed to all inventors.

Then select the Save option on the toolbar.

Patent Cost Reimbursements

This tab screen is used to track Patent Cost Reimbursements that are due and when they are due and to enter the amount and date received when they are received. Patent Cost Reimbursement payments are a type of income. *The system will automatically create a corresponding income record to reflect the amount received.*

Entering and viewing Patent Cost Reimbursement data is restricted to certain users. If the user does not see the Reimburse tab screen available, then they are not authorized to review or enter financial information.

The actual Prosecution costs for US and Foreign Filing Expenses are tracked against the invention on the Invention Subsystem. The user will be able to quickly review those costs through two pop-up screens on this tab page. Selecting <US Prosecution Fees> will display the Status/Fee records from the Invention Subsystem for the Docket Number selected on the list. Selecting <Foreign Filing Expenses> will display the Foreign Filing Expense records from the Invention Subsystem for the Docket Number selected on the list.

To add a Reimbursement record, select <Add Reimbursement>.

The highlight color will change to indicate the list is in 'Add' mode. The user must select the patent that the reimbursable is due for. To select a Docket Number, click the List of Values button [?] and a list of all Docket Numbers assigned under this license will be displayed as shown in the example above. Select the correct Docket No and then click <OK>.

Enter the date the bill was sent, the amount due, the Date Due and any comments. Then select Save on the toolbar. When the payment is received, update the amount and date received.

View US Prosecution Fees

This pop-up will show all US status/prosecution fee records for the docket number selected on the list. It is for viewing only.

View Foreign Filing Expenses

This pop-up will show all Foreign Filing Expense records for the docket number selected on the list. It is for viewing only.

In-License Screen

If another agency is extending their licensing rights to USDA, the license is considered an in-license. The user may indicate it as an In-License by checking the In-License checkbox on the main screen.

This will display an additional tab for a screen labeled In License.

This screen allows the user to capture data specific to this in license including the net revenue rules to be applied when distributing license income and reports and payments that are due or sent to the originating organization.

Signature Screen

Typically, the License Instruments Examiner will enter and approve the License. When the LIE approves it, they have a choice to approve it to NPPC for their review or approve it directly to the official (Active) file. Once approved to the Active File, it will be displayable within the Active forms within a few minutes.

To approve the invention, LIEs will enter their name, the approval date (which will default to the current date) and check the approve checkbox. Then click the <Approve License to NPPC> button. If all required information has been supplied, the license will move to the next level for NPPC's review. NPPC personnel will either enter their signature code or look it up with the available List of Values. They must also enter the approval date (which will default to the current date), check Approve, and select the <Approve License to Official> button.

5. Reports

This section will briefly describe each report available within the system.

Do Output - User Defined Reports

Every form has a report option called 'Do Output'. Do Output is a special feature that lets the user select columns from the list 'view' and create either a column report (list), detail report (display) or ASCII file. If the output chosen is ASCII file, the user will additionally choose the separators to use, whether to include column headers and the file name the output is to go to.

The following example is off the Active Invention form. Do Output is included in every form in the Invention and License Subsystem. The following is provided as one example.

Query the desired records into the list screen. In this example, the user has queried all expired patents.

If the user does not mark any records, the Do Output will output for all records in the list. If the user marks selected records, it will report only on the records selected. For this example, the user has selected a few records.
The user will then select Prints -> Do Output and the following will display.

It has automatically marked the items that are displayed in the list for inclusion in the 'report'. The user may mark any additional columns. In this case the user has also marked: Date Patented, Provisional Serial No, Provisional File Date, Patent Advisor Last Name and Patent Advisor First Name.

If the user chooses to produce a list report by selecting <Output> with a Style of 'List', the results will look like this:

List reports are good for showing data that can fit in a column format.

If the user selects some additional fields such as Invention Title, Date Invention Disclosure Received, Primary Contact, Inventor Modecode, Project Number, and Project Modecode, and then chooses the format 'Display' since the user knows the data will not fit in a column format and needs to be in a detailed record format. The output for the Style 'Display' will be:
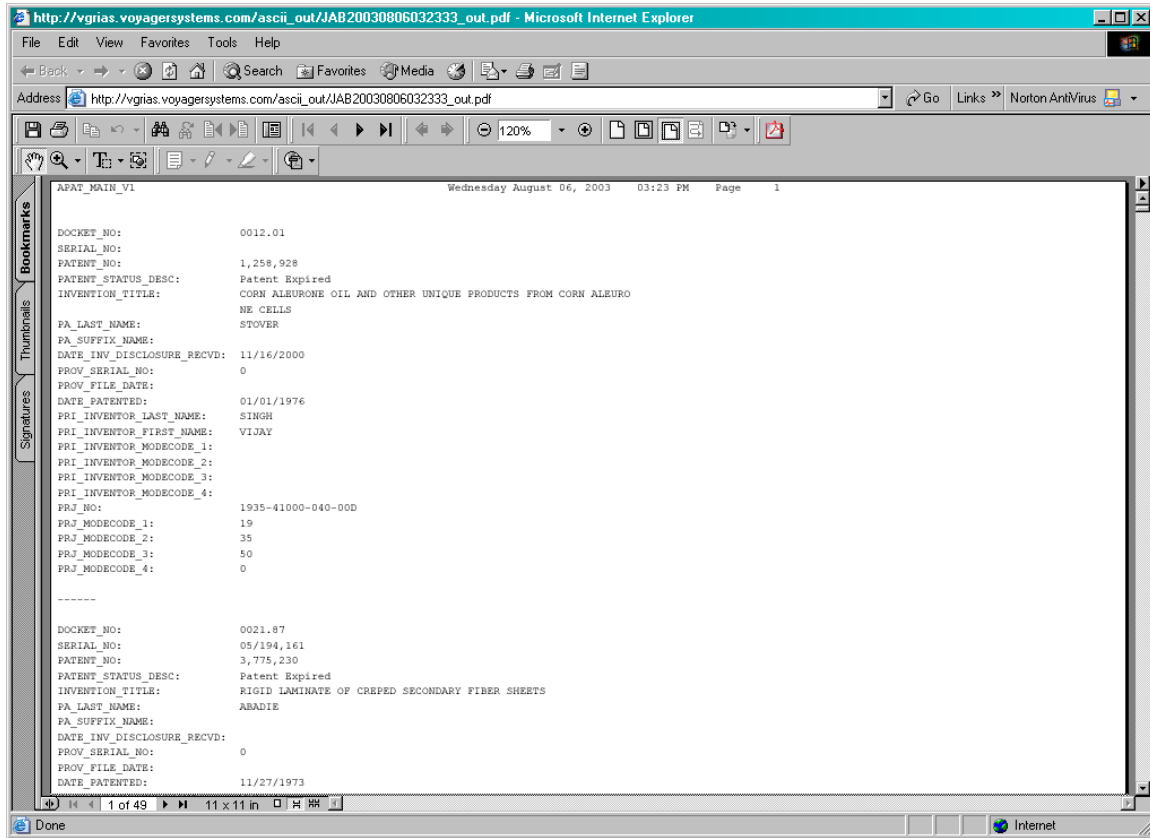
If the user chooses to output this data to an ASCII File, the user will select a style of ASCII and the following will display:

The user can choose the separator indicator, whether to include column headings, how to designate the end of line and the file name of the output. Then the user will select <Output> and receive:

The results are available in the file name designated for import into an Excel spreadsheet or other application.

Invention Reports

The following shows the list of reports available under Invention Reports. Note: there are specific reports available within the Patent forms that are not listed on the main menu.
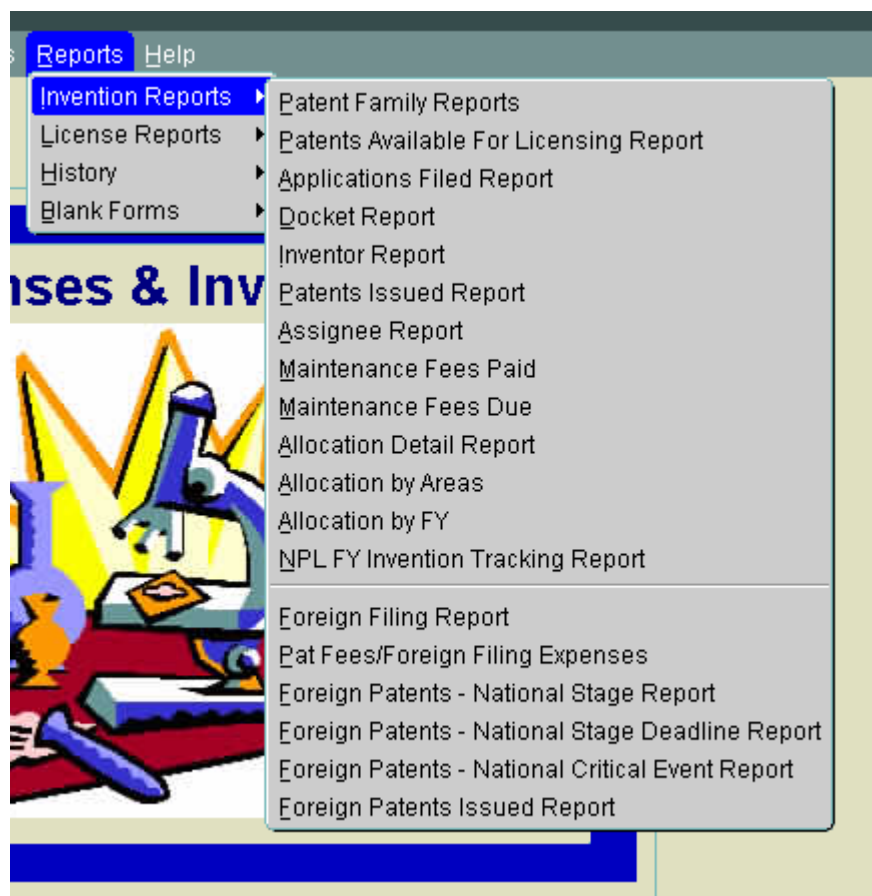
Patent Family Report

This report allows the user to query either a Detailed Report or a Summary Report and to report either All Patent Family or a family for a selected Docket.

The Summary Report will show the Patent Family tree with docket no and type in a hierarchical tree structure. The Detailed Report will show the Patent Family tree with expanded information about each Docket including Serial No, Patent No, Date Patented, Invention Title and Status Code.

Detail Example:

```
09/05/2003                    Agricultural Research Service                Page 1
                        Agricultural Research Information System

                              USDA PATENTS FAMILY TREE


                                        Patent      Date
Prefix/Docket No    Relation    Serial No    No      Patented       Invention Title

U   4008.91 Parent

                                07/925,685   00,000,000              REPELLENTS FOR ANTS

......U   0182.94 Continuation

                                08/286,111   05,648,390  07/15/1997  REPELLENTS FOR ANTS
```

Patents Available for Licensing

This report will detail all patents that are not currently licensed or that are licensed as Non-Exclusive. It can be used to identify inventions that can be promoted. There are no query criteria as it automatically searches for available patents that are either not licensed (and are not abandoned, expired or terminated) or are licensed non-exclusively.

It returns a report that shows for each patent available the Docket No, FY, Patent Advisor, Title, Date Invention Disclosure Received, Provisional Serial No, Provisional File Date, Serial No, Date Application Filed, Patent No, Date Patented, and if a non-exclusive license exists, the license no, technology description, license status and current licensee company name.

Example for one Patent Docket:

```
Docket No: 0022.00        FY: 2000        Patent Advisor: JOSEPH A LIPOVSKY
Title: PROCESS FOR DRY INSTANTIZATION OF RICE

Date Inv Disclosure Recvd: 01/24/2000
Prov Serial No: 00/000,000      Prov Filed Date:
Serial No: 09/758,663           Date Application Filed: 01/11/2001
Patent No: 0,000,000      Date Patented:
License No(If a non exclusive license exists): 010596/001
Technology Desc: GENERATED ID - DOCKET NO2200
License Status:                Current Licensee Company Name: IOWA STATE UNIVERSITY
```

Applications Filed Report

This report allows the user to query by Application Filed date range and/or Patent Status.

It will returns a report that shows Serial No, Date Application Filed, Patent No, Date Patented, Docket No, Provisional Serial No, Provisional File Date, Patent Advisor, Title, Prosecution History (all patent status and fee information), and inventors.

Example for one Patent Docket:

```
Serial No: 98/562,564 Date App Filed: 01/28/2002 Patent No: 0,000,000 Date Patented:
Docket No:    U 0003.02                    Date Inv Disc Recv:
Prov Serial No:               Provisional File Date:
Patent Advisor: JANELLE S GRAETER
Title:
      KELLIES TEST OF WORK TO ACTIVE
Status:                                              Status Date Critical?
 New Disclosure, not yet considered by Committee     01/28/2002    N
 Information Disclosure Statement Filed               01/28/2002    Y
 Deferred (awaiting more information)                 01/28/2002    N
 Response to Restriction Requirement Filed            01/28/2002    Y

Inventors:                        Agency/Org                      Primary?
ANN REILLEY                       ARS                                Y
```

Docket Report

This report allows the user to enter query criteria for a Patent Advisor, patent status(s), FY(s), Docket Number(s) and/or Status Date Range.

It returns a report that shows summary information for each docket including: Patent Advisor, Docket No, Serial No, Patent No, Date Patented, Title, Date Application Filed, CRADA Agreement No, Inventors including their Organization, and Prosecution History (all patent status and fee information).

Example for one Patent Docket:

```
Patent Advisor:        STOVER  G B

Docket No: 0012.01          Serial No:   00/000,000       Patent No:  1,258,928
Title:                      Date App Filed:               Date Patented: 01/01/1976
CORN ALEURONE OIL AND OTHER UNIQUE PRODUCTS FROM CORN ALEURONE CELLS
CRADA Agreement No:
Inventor(s):                Org/Agency
 SINGH  VIJAY               ARS
  MOREAU  ROBERT A          EASTERN REGIONAL RESEARCH CENTER
                            ARS
Status(s):                                          Critical?
 Patent Expired                                        N      01/30/2002

Patent Advisor Comments:
  EXPIRED PATENT OVER 17 YEARS FROM PATENT DATE  INVENTION TITLE TABLE STATUS CODE 1 CHANGED
```

Inventor Report

This report launches a form that lets the user search on any criteria that you would normally search on when retrieving and viewing patent records. The user can query the records based on the criteria needed, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

It returns a report that for each inventor, that shows the list of Docket inventions (Patent, Plant and/or Biological) that he is assigned to. For each docket, it will show additional detailed info and if any licenses resulted from the docket, they will be listed.

Example for one Inventor:

```
09/04/2003                        Agricultural Research Service              Page 11
                          Agricultural Research Information System
                                     INVENTOR REPORT



    Inventor Name: ROBERT K VANDER MEER          Modecode          Desc:

    Patents
    Docket            Title                    Date Filed      Status       Patent No Issued

    0026.94 REPELLENTS FOR ANTS                 04/29/1994    Abandoned         0

    0041.91 METHOD FOR THE CONTROL OF INSECTS   03/21/1990    Patented      5177107 01/05/1993
                          LICENSED WIT
              06/455,727-001 TO GRIFFIN

    0072.96 REPELLENTS FOR ANTS                 12/29/1995    Patented      5721274 02/24/1998

    0145.95 REPELLENTS FOR ANTS                 06/06/1995    Patented      5587401 12/24/1996

    0146.95 REPELLANTS FOR ANTS                 06/06/1995    Abandoned         0

    0149.95 REPELLENTS FOR ANTS                 06/06/1995    Abandoned         0

    0173.94 REPELLENT FOR ANTS                  07/29/1994    Patented      6071973 06/06/2000

    0182.94 REPELLENTS FOR ANTS                 08/04/1994    Patented      5648390 07/15/1997

    0772.87 A METHOD FOR THE CONTROL OF INSECTS 01/05/1983    Abandoned         0
                                    License No      Group Description
                                            License Status  Type of License  Issue Date

                              786/1    GENERATED ID - DOCKET NO 772.87

                                          Licensed        Exclusive      08/15/1985
```

Patents Issued Report

This report launches a form that lets the user search on any criteria that they would normally search on when retrieving and viewing patent records. The user can query the records based on the criteria they need, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

It returns a report that for each Docket, details the Serial No, date application filed, Patent No, date patented, provisional serial no, provisional file date, Patent Advisor, invention title, and the major categories.

Example for one Patent Docket:

```
09/04/2003                      Agricultural Research Service
                            Agricultural Research Information System

                                     Patents Issued

        Docket No  0693.87              Serial No  06/288,260   Date Application Filed 07/29/1981
        Patent No  4,329,337     Date Patented 05/11/1982
 Prov Serial No  00/000,000   Prov File Date
 Patent Advisor JEFFREY SILVERSTEIN
         Title TURKEY SEMEN EXTENDER
  Major Categories
          FO    Food



                                                            Total Number Issued          1
```

Assignee Report

This report launches a form that lets the user search on any criteria that they would normally search on when retrieving and viewing patent records. The user can query the records based on the criteria needed, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

For each assignee, the report will show the list of docket inventions that have an inventor who is assigned to the requested Agency/Organization. It will show summary information for each docket.

Example for Air Vent Inc:

Maintenance Fees Paid

This report launches a form that lets the user search on any criteria that they would normally search on when retrieving and viewing patent records. The user query the records based on the criteria needed, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

The report returned shows in column format: the Date Fees Paid, the Amount Paid, the Patent No, Date Patented, Date Custody Transferred, Serial No, Title, Agency, and the total amount of maintenance fees paid.

Maintenance Fees Due

This report launches a form that lets the user search on any criteria that you would normally search on when retrieving and viewing patent records. The user can query the records based on the criteria needed, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

The report returned shows in column format: the Date Fees Due, the Amount Due, the Patent No, Date Patented, Date Custody Transferred, Serial No, Title, Agency, and the total amount of maintenance fees due.

Allocation Detail Report

This report allows the user to enter query criteria for Area(s), a Fiscal Year, Direct or Indirect Filing, and the type of Dockets to include, Patent, Plant Materials and/or Biological Materials.

A Docket invention may have many inventors that are assigned to different modecode locations. The Patent Docket itself inherits the modecode assignment of the Lead Inventor (inventor designated as the primary contact). 'Direct Filing' means the report is for invention's whose direct modecode assignment is for the requested area(s). 'Indirect Filing' means the report is for any invention that has one or more inventors that are assigned to the requested area(s). Note: This can result in the invention being counted under multiple areas when choosing to report Indirect Filing.

The report will show a list for the requested Area and FY of the dockets that were entered in that FY. For each docket, it details the date the invention was disclosed, the modecode assignment of the invention, the current Patent Status, the CRADA agreement number if applicable, and the list of inventors with their modecode assignments.

Partial example for Area 12, FY 2000, Direct Filing, Patent Dockets:

Allocation by Area Report

This report allows the user to enter query criteria for a single Fiscal Year and include Direct and/or Indirect Filing. It will report statistics for all Areas for the requested FY.

A Docket invention may have many inventors that are assigned to different modecode locations. The Patent Docket itself inherits the modecode assignment of the Lead Inventor (inventor designated as the primary contact). 'Direct Filing' means the report is for invention's whose direct modecode assignment is for the requested area(s). 'Indirect Filing' means the report is for any invention that has one or more inventors that are assigned to the requested area(s). Note: This can result in the invention being counted under multiple areas when choosing to report Indirect Filing.

The report will calculate summary statistics for the FY requested. For each Area, it will show the total invention disclosures received, patent applications filed, and patents issued. It will further break out statistics for CRADA inventions.

Partial example for FY 2000, Direct Filing:

```
09/04/2003                    Agricultural Research Service          Page 1
                      Agricultural Research Information System
                             DIRECT ALLOCATION REPORT
                                     BY AREA


     FY:    2000
                                            AREAS
     Patents:

                      12      19      36      53      54      62      64      66

          Invention
    Disclosures Rec'd:  10      9      22      11       4      10      11      18


  Patent Apps Filed:    10      2       6       4       2       5       2       8


                         0      0       2       0       0       1       0       2
    Patents Issued:


    CRADA's Associated:

          Invention      0      1       4       2       0       5       1       1
    Disclosures Rec'd:

                         3      0       1       0       0       1       0       0
  Patent Apps Filed:

                         0      0       2       0       0       0       0       0
    Patents Issued:
```

Allocation by FY Report

This report allows the user to enter query criteria for a single Area, for multiple FY(s) up to five years and to include Direct and/or Indirect Filing.

A Docket invention may have many inventors that are assigned to different modecode locations. The Patent Docket itself inherits the modecode assignment of the Lead Inventor (inventor designated as the primary contact). 'Direct Filing' means the report is for invention's whose direct modecode assignment is for the requested area(s). 'Indirect Filing' means the report is for any invention that has one or more inventors that are assigned to the requested area(s). Note: This can result in the invention being counted under multiple areas when choosing to report Indirect Filing.

The report will calculate summary statistics for the Area requested. For each FY requested it will show the invention disclosures received, patent applications filed and patents issued. It will further breakout statistics for CRADA inventions.

Partial example for Area 66, FYs 1999, 2000, and 2001, for Direct Filing:

```
09/04/2003                    Agricultural Research Service
                         Agricultural Research Information System        Page 1
                              DIRECT ALLOCATION REPORT
                                      BY FY


        AREA: 66
                                            FISCAL YEARS
        Patents:

                         1999    2000    2001
           Invention
        Disclosures Rec'd:    18      18       5       0       0


        Patent Apps Filed:    20       8       0       0       0


         Patents Issued:       6       2       0       0       0



        CRADA's Associated:

           Invention           1       1       1       0       0
        Disclosures Rec'd:


        Patent Apps Filed:      1       0       0       0       0



         Patents Issued:
```

NPL FY Invention Tracking Report

This is a draft report for NPL personnel. It allows the user to query on a single FY. For that FY, it will return all inventions entered under that FY and it will first show all inventions that are tied to a CRADA agreement and then it will list all inventions that are not tied to a CRADA agreement. For each Docket, it will show the CRADA Agreement No, the Log Number, the Start Date and Stop Date, the Patent Advisor, the Invention Title, and the list of inventors with their Modecode assignments.

Partial example for FY 2000:


```
09/05/2003                          Agricultural Research Service              Page 1
                                 Agricultural Research Information System
                                 DRAFT *NPL FY INVENTION TRACKING REPORT* DRAFT



     CRADA Inventions:
     Docket #        Agreement No          Log Number  Start Date   Stop Date        Patent Advisor

   U  006D.00   58  3K95    9  0781         16585       09/01/1999  12/01/2001  CONNOR       MARGARET    A
 INSULATED CONTAINERS MADE OF STARCH-BASED FOAM AND A PAPER, FOIL OR PLASTICSHEET COATING

                                      Inventor Name                     Inventor Modecode

                          GLENN          GREGORY         M

                          ORTS           WILLIAM         J

                          NOBES          GEOFFREY        A R

                          GRAY           GREGORY         M

   U  0171.00   58  3K95    9  0757         0            06/15/1999  06/14/2000  DECK         RANDALL     E
 ATTRACTANT FOR MONITORING AND CONTROL OF ADULT SCARABS

                                      Inventor Name                     Inventor Modecode

                          LOPEZ          JUAN DE DIOS

                          SHAVER         TED             N

                          CROCKER        ROBERT          L
```

Foreign Filing Report

This report shows in column format: US Serial No, US File Date, PCT File Date, PCT/Non-PCT National Deadline, PCT Status, Patent Advisor and Title.

Patent Fees/Foreign Filing Expenses

This report allows the user to query an invoice date range, docket number(s), serial number(s) and/or patent number(s).

The report will return information for each Docket including: Docket No, FY, Primary Contact (Lead Inventor), Provisional Serial No, Serial No, Patent No, Title, Patent Advisor, US Patent Prosecution Fees, Foreign Filing Expenses, and calculate totals for US Prosecution Fees , the Foreign Filing Expenses and the total of both US and Foreign.

Foreign Patents – National Stage Report

This report allows the user to query a National Deadline Date Range.

The report displays summary information for the docket including: Docket No, FY, Title, Serial No and National Filing information including Country, National Filing Deadline, National Filing Status, Application No, Patent No and Issue Date.

Foreign Patents – National Stage Deadline Report

This report allows the user to query on National Deadline Date Range, Docket No(s), Serial No(s), and Country Code(s).

The report displays Docket No, FY, Title, Serial No and PCT Filing information including Status, Country and National Filing Deadline.

Foreign Patents - National Critical Event Report

This report allows the user to query National Filing information including critical event date range, critical event, national filing status, docket number, serial number, invention title or country code.

The report shows basic docket information including Docket No, FY, Serial No, Patent No, and Title and shows the associated National Filing records which include Country, Status, Application No, Application Date, Patent No, Issue Date, and Critical Event.

Foreign Patents Issued Report

This report allows the user to query on a patents issued date range, docket number, serial number, patent number and/or country.

The report shows basic docket information including Docket No, FY, Serial No, Patent No, Title and Serial No and shows the associated National Filing records which include Country, Status, Application No, Application Date, Patent No and Issued Date.

License Reports

The following shows the list of reports available under License Reports. Note: there are specific reports available within the License forms that are not listed on the main menu.
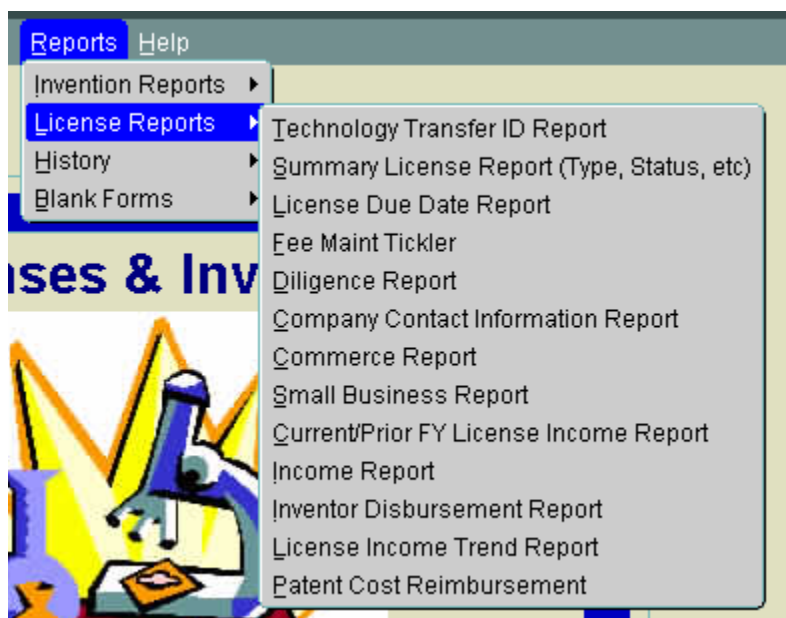
Technology Transfer ID Report

This report allows the user to query on TT ID(s), Docket No(s), License No(s), Issue Date, Type of License, License Status, Current Licensee, Serial No, Prov Serial No, Patent No, Invention Title, Plant Docket No(s), Variety Name, PVP No, Biological Docket No(s), Biological Material Name, and/or Material Type.

The report will show for each TT ID, docket and license information. Docket information will include Docket Prefix, Docket No (list will be separated by type – Patent, Plant Material or Biological Material), Provisional Serial No, Serial No, Patent No, and Title and information on any National Filing records including Country, application no and file date, patent no and issued date; for Plant Materials – Variety Name, PVP No, Application No and Filed Date, Certificate No and Filed Date; for Biological Materials – Material Name and the Material Type. For each license, it will show licensed issued date, license status, current licensee, and the list of dockets assigned under the license.

Summary License Report

This report allows the user to query on TT ID(s), License No(s), Group Description, Company Name, Type of License, License Status, Issue Date Range and/or Status Date Range.

The report will show in column format TT ID/License No, Group Description, Company Name of the Current Licensee, Type of License, Issue Date, License Status, and License Status Date.

Partial example for Type of License is Non-Exclusive:

```
09/05/2003                      Agricultural Research Service                        1
                             Agricultural Research Information System

                                        License Report
                                                                       License
License No      Group Desc         Company Name      Type of License Issue Date    Status      Date

000783/001   GENERATED ID -    AKZO NOBEL--INTERVET, Non exclusive  09/19/1988 Licensed   09/19/1988
             DOCKET NO         INC.
             693.87

000784/002   GENERATED ID -    BRINTON LABORATORIES, Non exclusive
             DOCKET NO         INC.
             750.87

000784/007   GENERATED ID -    SCHERING-PLOUGH       Non exclusive
             DOCKET NO         CORPORATION
             750.87

000784/008   GENERATED ID -    AKZO NOBEL/INTERVET,  Non exclusive  05/26/1987 Licensed   05/26/1987
             DOCKET NO         INC.
             750.87

000784/009   GENERATED ID -    WILLMAR POULTRY, INC. Non exclusive  05/26/1987 Licensed   05/26/1987
             DOCKET NO
             750.87

000787/002   GENERATED ID -    IOWA STATE UNIVERSITY Non exclusive  12/08/2001 Licensed   12/08/2001
             DOCKET NO
             852.87
```

License Due Date Report

This report allows the user to query on TT ID(s), License No(s), Group Description, License Status, Type of License, License Company, Income Type, Fee Due Date, Fee Received Date, Royalty Report Due, Royalty Report Most Recent, Progress Report Due, Progress Report Most Recent, Date of First Sale and/or FY.

This report will show summary information for the license including TT ID/License No, Group Description, License Status, Type of License, Current Licensee and depending on selection criteria; royalty report due date information, progress report due date information, income due in list format showing due date, income type, amount due, amount received, and date received.

Partial example:

```
09/05/2003                      Agricultural Research Service                      1
                           Agricultural Research Information System

                                  License Due Date Report


License Number: 781 4         Group Description:GENERATED ID - DOCKET NO 102.01 edited
License Status: Licensed          Type of License:Non exclusive
Current Licensee:GENETICS & IVF INSTITUTE

   Royalty Report:                              Progress Report:
      Due Date:                                    Due Date:
      Due Date:                                    Date Most Recent Report:
      Date Most Recent Report:                     1st Commercial Sale:08/01/2003

   Date Due    Income Type                    Amount Due      Amount Rec'd      Date Rec'd
   07/20/2003  MILESTONE PAYMENT                 $1,200          $1,200         07/21/2003
   07/01/2003  EXECUTION FEE                       $500            $500         07/15/2003
```

Fee Maintenance Tickler

This report allows the user to query a Tickler Due Date Range, TT ID(s), License No(s), Group Description, and/or License Status.

This report will show the Tickler Due Date, the TT ID/License No, License Status, Group Description and the Tickler Description.

Example for a license:

```
   09/05/2003                      Agricultural Research Service                 Page 1
                            Agricultural Research Information System
                                 LICENSE FEES TICKLER REPORT



       Tickler Date:       License No:                License Status:
       01/10/2003          D00783  D01                Licensed

       Group Description:
       GENERATED ID - DOCKET NO 693.87

       Tickler Description:
       test tickler
```

Diligence Report

This report allows the user to query Target Date Range, Date of First Sale Date Range, Group Description, TT ID(s), License No(s), License Status, Type of License and/or Current Licensee.

This report will show summary information for the license, commercial target data and Milestone data.   Summary license info includes the TT ID/License No, Group Description, License Status, Current Licensee and then in column format or Commercial Targets; the target date, target description, date of first sale and product name and in column format for Milestones; Milestone Description, Date Met, and Payment Amount.

Example for one License:

```
09/05/2003                    Agricultural Research Service            Page 1
                      Agricultural Research Information System

                         COMMERICAL TARGET/PRODUCT NAME REPORT


    License No: 000781   503 Group Description:   GENERATED ID - DOCKET NO 102.01 edited

    License Status: Licensed                  License Type:   Limited exclusive (fields of use)

    Current Licensee:

    Target Date         Target Description          Date Of First Sale      Product Name

    01/01/1900

    04/04/2003   Target Description 1                04/04/2004       Product 1
    04/05/2003   Target Description 2                04/04/2004       Product 2

                Milestone                 Date Met    Payment Amount
    Milestone 1                           04/04/2004           10
    Milestone 2                           04/05/2004           10

                                       Total Paid:           $20
```

Company Contact Information

This report allows the user to query TT ID(s), License No(s), Company Name, Primary Contact Name, License Status, Company Type and to optionally include Secondary Contact information.

The report will show for each license (TT ID/License No), the company type, the company name, the primary contact name, address, phone, fax and email.

Partial example:

```
09/05/2003                        Agricultural Research Service            Page 1
                             Agricultural Research Information System
                                    COMPANY CONTACT INFORMATION


          License No      Company Type      Company Name
                                              Primary Contacts          Phone/Fax           E-mail


          000782 / 001  Current        AMBI INC
                                        Ben          Sporn          [914] 701-4500
                                                                    [914] 696-0860
                                        4 Manhattanville Road
                                        Purchase          NY US 10577-2197

          000782 / 002  Current        MONARCH NUTRITIONAL LABS.
                                        NANETTE JOHNSON                [801] 392-9111
                                        ADMINISTRATIVE VICE PRESIDENT  [801] 621-0645
                                        933 WALL AVENUE
                                        OGDEN             UT US 84404-000D
```

Commerce Report

This report is under review. There are several other reports that produce pieces of the Commerce Report. This includes the Income Report which can be used to generate the Earned Royalty Income information. It also includes the Do Output function which can be used to bring the pending data into an excel spreadsheet.

Small Business Report

This report allows the user to query the TT ID(s), License No(s), Group Description, Company Name, License Status, Type of License, License Company Name, and whether the company is designated as small business, minority owned and/or rural business. The user should always check one of the indicators: Small Business, Minority Owned and/or Rural Business.

This report will show in column format, the License No (TT ID/License No), Group Description, Type License Company, Type of License, Company Name, and indicate whether it is small business, minority owned and/or rural business.

Partial example:

```
09/05/2003                              Agricultural Research Service              Page 1
                                   Agricultural Research Information System

                                        USDA SMALL BUSINESS REPORT


           License                Type License      License           Company        Small     Rural    Minority
             No      Group Desc    Company       Description         Name      Business  Business   Owned
           910  1   GENERATED ID -  CURRENT     Non exclusive    GLYKO, INC.        Y
                    DOCKET NO 83.94  LICENSEE
```

Current/Prior FY License Income Report

This report allows the user to query a TT ID(s), a current FY, license status and/or fee type. The user should always provide at least the current FY. *This report can be used to run income for any two consecutive years by specifying the 'current' FY as any FY entered.*

This report will show for each license (TT ID/License No) the Prior FY income (for the types selected), the current licensee company name, type of license, license status, last payment date and current FY income.

Partial example:

```
09/05/2003                          Agricultural Research Service            Page 1
                                 Agricultural Research Information System
                                    CURRENT/PRIOR FISCAL YEAR INCOME


           PRIOR FY: 1999      CURRENT FY: 2000      FEE TYPES:


    Prior FY        License No      Company         Type       Status    Last Payment Date    Current FY
    $653,665       000782 / 001  AMBI INC        Exclusive   Licensed     08/31/2000          $740,351


    Prior FY        License No      Company         Type       Status    Last Payment Date    Current FY
     $5,448        000783 / 001  AKZO NOBEL--      Non       Licensed     02/29/2000           $2,810
                                 INTERVET, INC.  exclusive

    Prior FY        License No      Company         Type       Status    Last Payment Date    Current FY
     $4,206        000784 / 001  ARKO              Non       Licensed     07/28/2000           $5,279
                                 LABORATORIES,   exclusive
                                 LTD.
```

Income Report

This report is only available to authorized OTT personnel. This report allows the user to query a Due Date Range, a Received Date Range, TT ID(s), License Status, and Income Types.

The report will show summary license information including TT ID/License No, Group Description, Current Licensee, Docket No(s) and Invention Title(s), and in column format for each fee type requested, the FY, Due Date, Total Due, Paid Date, Amount Received and Date the record was last modified. It will also calculate totals for each fee type and the total for the license.

Example for a Terminated License:

```
09/08/2003                    Agricultural Research Service           Page 1
                          Agricultural Research Information System
                                   OTT INCOME REPORT


     License No:    000862 /1    Group Desc:   GENERATED ID - DOCKET NO      Company Name:  CANADA/ALBERTA
                                               1476.87                                      LIVESTOCK RES.

     Docket No              Invention Title
     U 147687       VACCINES FOR THE PROTECTION OF ANIMALS AGAINST
                    HYPODERMOSIS

     Fee Type: L INCOME
     Income FY       Due Date    Total Due     Paid Date      Amt Recd     Date Last Mod
         1991       09/30/1991     $3,000      09/30/1991       $3,000

         1993       09/30/1993     $1,000      09/30/1993       $1,000

         1994       04/30/1994     $1,000      04/30/1994       $1,000

         1996       09/03/1996     $2,000      09/03/1996       $2,000

         1997       07/31/1997     $1,000      07/31/1997       $1,000

         2000       01/24/2000       $836      01/24/2000         $836


     Totals:                      $8,836                       $8,836

                                               Total Fees Due per License:      $8,836
                                               Total Recd per License:          $8,836

                                                        Total Recd:             $8,836
                                                        Total Fees Due:         $8,836
```

Inventor Disbursement Report

This report is only available to authorized OTT personnel. This report allows the user to query Inventor Name, TT ID(s), License No(s), Docket No(s), License Status, and Inventor Disbursement Date Range.

The report will show for each inventor that met the query criteria, the list of inventions that he is an inventor on including Docket No, Invention Title, Date Filed, Most Recent Patent Status, Patent No and Date Patented. Then it will list all licenses under which the inventor has received disbursement and will show for each license the TT ID/License No, Group Description, Current Licensee, License Status, Type of License, Issue Date, Docket Number disbursed under and amount of disbursement.

Example using Test Data:

```
09/08/2003                        Agricultural Research Service              Page 1
                           Agricultural Research Information System
                                 INVENTOR DISBURSEMENTS REPORT



     Inventor Name:  ALEXANDER P KING              Modecode:12-30-15-00  Location: NATIONAL ARBORETUM
                                                                                   (WASHINGTON, D.C.)




    Licenses
    License
      No             Group Description          Current Licensee   License Status   Type of License    Issue Date
     781  4    GENERATED ID - DOCKET NO         GENETICS & IVF       Licensed       Non exclusive      07/21/2003
              102.01 edited                     INSTITUTE

                    Docket No      Disbursed Amount Total
                    U  0034.92           $3,000.00

                 Total for License:        $3,000.00


                 Total for Inventor:       $3,000.00
```

License Income Trend Report

This report is only available to authorized OTT personnel. This report allows the user to query on TT ID(s), provide a starting FY, and/or a license status. The user should always provide a FY Range that does not exceed 5 years. The report will then generate for the FY year range requested.

The report will show in column format, each License (TT ID/License No), Group Description, Current Licensee and for income; the income type and the income for each of the years from the requested in the FY range.

Example for Terminated license:

Patent Cost Reimbursement

This report is only available to authorized OTT personnel. This report allows the user to query TT ID(s), License(s), Group Description, License Status, License Type, Current Licensee, Docket No(s), Date Bill Sent Date Range, Date Due Date Range and/or Date Received Date Range.

This report will show for each license: License No (TT ID/License No), Group Description, License Status, Type of License, Current Licensee, and then for each Patent Cost Reimbursement; the docket no, date bill sent, amount due, due date, amount received, date received and comments.
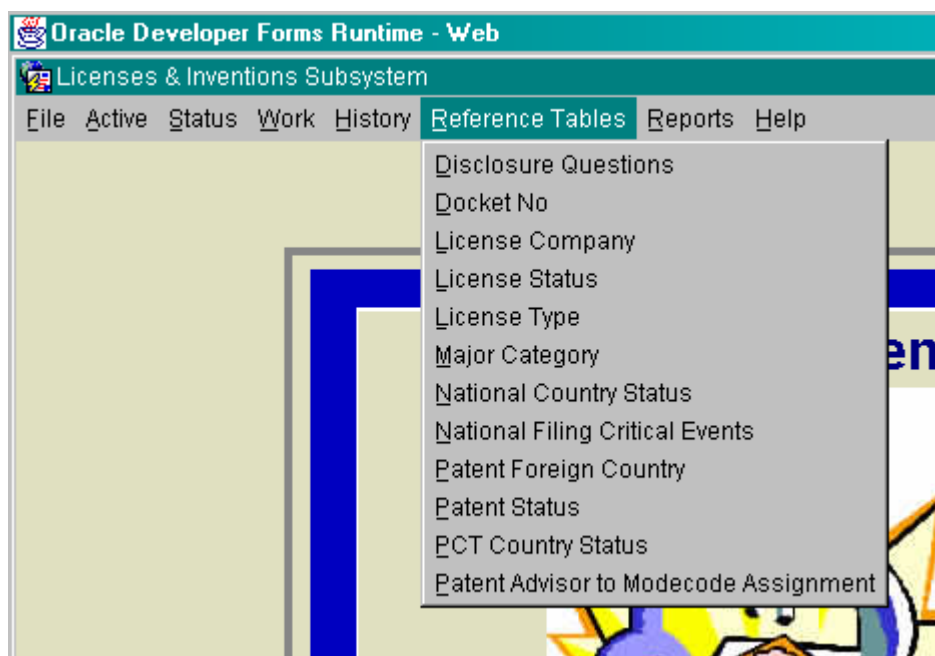
Example using test data:

6. Reference Tables

The capability to view and maintain the Reference Tables is under the Reference Table menu which lists each of the Reference Tables available.

Menu

These tables are:

♦ Disclosure Questions – View and maintain the text of the disclosure questions. There are separate questions for Patent Dockets, Plant Material Dockets and Biological Material Dockets. Questions are maintained for each FY.

♦ Docket No – View and maintain Docket Numbers for Patent Dockets, Plant Material Dockets and Biological Material Dockets. Docket Numbers are maintained for each FY.

♦ License Company – View and maintain company, contact, address, phone, fax and e-mail information. This information can then be used by licensing personnel to specify the license company and contact.

- License Status – View and maintain valid License Statuses. Current statuses are:
    - P - Pending
    - O - Optioned
    - L - Licensed
    - C - Closed
    - T – Terminated

- License Type – View and maintain valid License Types. Current types are:
    - C - Co-exclusive
    - E - Exclusive
    - F - Limited exclusive (Fields of Use)
    - N - Non exclusive
    - T - Limited exclusive (Territories)

- Major Category – View and maintain Major Category Codes. (e.g. AH - Animal Husbandry)

- National Country Status – View and maintain National Country Statuses. Current statuses are:
    - M - Abandoned
    - N - Patented
    - P - Pending
    - S - Narrowed at National

- National Filing Critical Events – View and maintain National Filing Critical Events. Current event codes are:
    - A - Request for Examination Due
    - C - Response to Official Action Due
    - E - Issue Fee Due
    - G - PA Response to Contractor Due
    - J - Other Fee Due

- Patent Foreign Country – View and maintain the country codes as specified by treaty for patent foreign countries. (e.g. AC - ALL BUT CUBA)

- Patent Status – View and maintain valid Patent Statuses. (e.g. TP – Patented)

- PCT Country Status – View and maintain valid PCT Country statuses. Current PCT Country Status Codes are:
    - A - Await Filing
    - B - Request Filed
    - C - Demand Filed
    - M - Abandoned
    - N - Inactive Nat'l Stage

◆ Patent Advisor to Modecode Assignment – View and maintain Patent Advisor's modecode assignments. This specifies which Patent Advisor is automatically assigned to a docket upon creation. This assignment is initially based on modecode. It may then be changed to transfer to another Patent Advisor if required (often based on technological areas of expertise). Current assignments are:

- o Margaret Connor
  - ▪ Modecode 53 - PACIFIC WEST AREA
- o Randall Deck
  - ▪ Modecode 62 - SOUTHERN PLAINS AREA
- o Janelle Graeter
  - ▪ Modecode 12 - BELTSVILLE AREA
  - ▪ Modecode 19 - NORTH ATLANTIC AREA
  - ▪ Modecode 40 - INTERNATIONAL RESEARCH PROGRAMS
- o Joseph Lipovsky
  - ▪ Modecode 64 - MID SOUTH AREA
- o Gail Poulos
  - ▪ Modecode 66 - SOUTH ATLANTIC AREA
- o Curtis Ribando
  - ▪ Modecode 36 - MIDWEST AREA
  - ▪ Modecode 54 - NORTHERN PLAINS AREA

Maintaining Reference Table Information

All reference tables are maintained in the same manner. This section will show one example which may be applied to any reference table maintenance action. Select the Reference Table from the main menu that requires maintenance. For this example, we have selected License Type.

The reference form will show the query screen for the reference table selected:

Enter any desired query criteria and execute the query by:
- Selecting the <ENTER> key
- Selecting the Disk Icon with a ? on the toolbar
- Selecting the menu option Query -> Execute

Executing the query will bring up a list screen that shows all the codes that matched the query criteria. In this example, we have entered no query criteria and therefore retrieve all the information currently in the reference table.

To add a new code, select the <Add Code> button. This will display the detail screen in Add mode.

Enter the new code and the new description. To save the entry, select the disk icon on the toolbar or from the menu, select Record -> Save. The new entry will now display on the list screen.

To change information on an existing code, select the code on the list screen that is to be modified.

Then select the detail tab to display the detailed information.

The user may modify all the fields in white. In this case, the description is modifiable and also the status of this record.

When a code is determined to be obsolete and will no longer be used for active data entry, the status of the reference table record must be changed to obsolete. To do this, select the record on the list and select the <Obsolete Record> button. The user will be given a warning message to ensure that they have selected the correct code as shown here:

Select Yes to change the status of the record to Obsolete. The can also use the modify function described above and change the status of the record in modify mode.

► *Obsolete codes and descriptions are still shown in Active, History and Work records. They are not presented as selections for any new records being created or modified.*